Who to target with survey:

- Knowledge of agency regulations
- annual report contacts
- People who can cite regulations
- ask for name and title and description of person taking a survey
- target the person who knows the regs in the email

Do this to make sure the requirements are actually per agency FOIA regulations

Regulatory citation needed for:

- Name
- Middle name [or initial]
- Requester org
- Email
- Phone number
- Fax number
- Mailing address

(sometimes an email address, phone number mailing address is conditional)

Requester category -- leave in but maybe learn we need to remove

Fix individual--other requesters. Need official language from Bobby.

Fee waiver, expedition, description -- NO citation but leave in

Electronic signature - need citation -- move to additional fields

Tool with attachments question

Case number -- use sometimes

Records indexed by case number

Determined “sometimes” can take the place of “optional” and “conditional”

Matt prefers the more descriptive versrion of “not needed”

Dear [nnn],

As you might know, the Office of Information Policy within the DOJ is currently working with GSA’s 18F team to develop the National FOIA Portal required by the FOIA Improvement Act of 2016. Your completion of the survey linked to below is essential to the success of the overall effort. **The person who takes the survey should be familiar with your agency’s FOIA regulations.**

https://goo.gl/forms/smcYX9mCX9wHYNy52

When taking this survey, please confirm which fields a FOIA requester must complete for your agency to receive their request, as well as whether these fields are required by your agency regulations. You can also indicate that a field is helpful when processing a request even if it is not a required part of the submission.

Thanks so much.

Sincerely,

OIP and 18F

This survey will capture the unique fields required by your agency for FOIA submissions. These fields will be included in the National Portal’s online request form

that will be generated for your agency. **The person taking this survey should be familiar with your agency's FOIA regulations and be able to provide citations.**

This survey should take no longer than 30 minutes to complete.

Link to survey:
https://docs.google.com/forms/d/e/1FAIpQLSfFLQxq2U830ZMAo5LSiMHAxTBy0ApsEk7iL3g3aO0mpHbzdA/viewform

If you have questions about who should complete this survey, or if you have trouble taking it, please reach out to Matt.Gardner@usdoj.gov.

Org	Name	Email	Notes	Survey 1	Tech feedback 1	
EPA	Tim Crawford	crawford.tim@epa.gov		N	9/18	
DHS	James Holzer	(b) (7) (C) @hq.dhs.gov		N	OOO Harvey/Irma	
FBI	Jason Combs - Primary	(b) @fbi.gov	Primary		Y	
FBI	Desiree Kelly - Primary	(b) @fbi.gov	Primary			
FBI	James Jaye	(b) @fbi.gov		N		
FBI	Kim Deutsch	(b) (7) @fbi.gov				
FBI	Amanda Robertson	(b) (7) @fbi.gov				
GSA	Travis Lewis	travis.lewis@gsa.gov		Y	Y	
OGE	Rachel Dowell	rkdowell@oge.gov	Design feedback	Y		
OGE	Michael Hanson	mhanson@oge.gov	Tech feedback		Y	
State Dept	Eric F Stein	SteinEF@state.gov		Y	9/18	
State Dept	Kellie Robinson	RobinsonKN@state.gov			9/18	
State Dept (IG)	Stephanie Fox	(b) (6) @stateoig.gov				

Consolidated FOIA Portal

Requirements Document

Version 1.0 – Final Date

Approval of the System Requirements indicates an understanding of the purpose and content described in this deliverable. By signing this deliverable, each individual agrees with the content contained in this deliverable.

Approver Name	Title	Signature	Date

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Revision History

Modifier	Reason	Date

Overview

Over 100 Federal Executive Branch Agencies are subject to the Freedom of Information Act (FOIA), which can cause requesters frustration when deciding where and how to submit their FOIA request. Requesters spend a significant amount of time and energy into submitting each individual request, searching for the right agency and navigating through the various processes for submitting a FOIA request. The new consolidated FOIA Portal will allow requesters to submit a FOIA request to any Federal agency from a single website, which would save requesters time and energy spent when submitting a request. The overall customer experience will be enhanced with added tools and a more user-friendly interface. Requesters input will be sought after by the U.S. Government to better determine the best way to implement the consolidated FOIA service.

Goals

Goal #1:	Consolidated multi-agency website presence at FOIA.gov
Goal #2:	Search function across all federal websites and released FOIA documents
Goal #3:	Guided process to direct requesters to the agency(ies) most likely to have records and where they should submit a FOIA request or to direct a requester to another government source of information so that they do not need to submit a FOIA request
Goal #4:	Structured request form for each agency for the public to use when submitting requests
Goal #5:	Ability for agencies to update their own content on both FOIA.gov and (if able/choose to) their own sites on a regular basis from one location
Goal #6:	Robust, online based FOIA reporting tools for agencies
Goal #7:	Online status tracking for requests at federal agencies

Current State

Today there is a distributed model – every Federal agency has a unique ingest point and case management system for handling their FOIA requests. Users have to find the right agency and work through these unique processes in order to submit their request and have an agency process that request.

For a FOIA request to be proper or "perfected", regardless of which agency it is submitted to, it must:

1. Reasonably describe the records sought.
2. Be made to the right place, the correct agency, and in accordance with those agency's rules; and

Though a submitted request is assumed to be perfected upon receipt, a request may be considered "unperfected" after submission or upon review if it does not comply with individual agency requirements (i.e. the need to submit alien numbers when making a request to the Executive Office for Immigration Review or a contract number when making a request to the General Services Administration).

Additionally, some agencies may request certain information in order for requests to be processed more efficiently or effectively (for example, date ranges, location of records, or search terms to use).

All agencies maintain a FOIA web presence, usually a FOIA website, that includes content as required by the FOIA (such as information that has been proactively disclosed and how to make a request to the agency). Additionally, many agencies currently employ their own web portals. However these portals are, with one exception, are specfic to a particular agency with with their own unique capabilities. For example:

- The Departments of Agriculture and Health and Human Services both use a public access link/portal provided by the vendor that operates their case management system.
- The Department of Homeland Security provides a structured form on their website to submit requests to the agency's components, but it does not provide direct submission to a component's case management system. However, this system does allow for tracking of FOIA requests from all offices.
- The Deparment of State use a homegrown web portal that offers users a guide to making a request, ensuring that the user is actually looking to make a request to the agency, as well as a repository for released records.
- FOIAOnline is the only multi-agency web portal, providing partner agencies with a web portal and repository for posted records, a case management system, and a tracking system for users.

Considerations for Government-wide Portal:

- Lack of a single place with a common theme/messaging that citizens can easily interact with to access FOIA resources, such as making a FOIA request to an agency
- Lack of a single place with common tools and resources for government-agency users to assist in their administration of the FOIA.

Challenges and future opportunities in moving to a centralized portal:

- Customization is difficult and may not be granted per agency
- The requirement for an agency FOIA-site
    - Some agencies may still want to have their own portal, even with a centralized portal
    - Agencies will still have to have their own FOIA website even if cross-posting to a centralized portal
- Having agency specific fields for submitted requests that can be updated as requirements change, both for agencies who need to specify the requirements and the public for understanding the differences
- May not be able to get around multiple submissions to agencies if users submit a request through a central site and then through and individual agency portal
- Need to consider future functionality beyond just submitting a request such as the ability of public users to view previously submitted requests through portal
- Would users have to have an account to access the website?
- Development, as it happens, will comply with potential and/or forthcoming open source software policy
- Initial implementation will work towards defining an interface for unique or global interoperability with agency case management systems at a later date
- Lack of a front end that clearly articulates when requests are made.
- Inconsistent user experiences (e.g. that a message that your request has been received within 48 hours)
- Inconsistent sending of delivery confirmation

Background

- There are around 100 agencies and 350 FOIA Offices with varying volumes of request.
    - Large FOIA volume agencies, such as the Departments of Homeland Security, Justice, and Defense receive tens of thousands of requests each year (with DHS alone receiving the most with 200,000 requests in Fiscal Year 2014).
    - However, over 70 agencies receive less than 1,000 requests and of these over 50 receive less than 200 requests annually.
- The FOIA statute generally requires agencies respond to requests within 20 working days unless unusual circumstances apply.
- The statute also requires agencies to report on the metrics behind their administration of the FOIA, such as the number of requests received and processed and how long it took to respond to requests, in a report annually to the Attorney General.
    - Government-wide reporting requirements and metrics come directly from the FOIA statute as well as from Department of Justice Guidance.
- Agencies currently have an intake capabaility and process to review received requests to ensure that they should be entered into their case management system with a unique FOIA request number but this capability varies by agency.
- Agencies have developed requirements for their FOIA case management systems to comply with their individual records retention requirements. In most cases, this does not impact the operations of an agnecy's FOIA portal as the portal is only the means by which a request is submitted and not the repository for these requests.
- There is no government-wide taxonomy for FOIA request ID numbers; these IDs are unique per agency.

Assumptions

- The establishment of a consolidated FOIA portal does not allievate the requirement that agencies maintain their own FOIA website.
- The consolidated portal will not store information locally from submitted requests.
- Requests submitted through the consolidated portal would still have to be reviewed for completeness, appropriateness, and duplicativeness by the receving agency.
- The consolidated portal will not serve as a FOIA case management system for agencies.
- PII might be transmitted through the portal if required by certain agencies for the submission of a request.
- Request services of the site intended for request submission itinially but shouldn't be designed to prohibit any future functionality added on in the future.

Infrastructure Requirements

For each requirement list:

Goal(s) supported
Is the requirement currently being met?
Requirement acceptance criteria

User experience

1. Citizen is able to submit a request to any federal agency from a single site

Goals Supported	Requirement being met?	Acceptance Criteria
1	No for Acceptance Criteria 1. To an extent for Acceptance Criteria 2 on FOIA.gov.	1. Citizen navigates to single website and submits a request to an agency/component directly through that site. 2. Citizen navigates to single website and is able to access a window to a portal or send an email to an agency/component through that site.

2. Citizen is able to be guided to an agency that is likely to maintain records on a topic of interest

Goals Supported	Requirement being met?	Acceptance Criteria
1, 3	No for Acceptance Criteria 1 and 3. Yes for Acceptance Criteria 2 from Dept. of State.	1. User uses keywords for topic of interest to search for agencies that might maintain records of interest. 2. User selects a category of records, and subsequent questions are presented that narrow the list of potential agencies/offices that the user could submit a request to. 3. User selects a topic from a defined list of topics and a list of agencies is returned who maintain records on that topic.

3. Citizen is able to search for already released or posted material, including releases made under FOIA prior to making a request

Goals Supported	Requirement being met?	Acceptance Criteria
1, 2	No for Acceptance Criteria 1 or 3. To an extent for Acceptance Criteria 2 on FOIA.gov.	1. Citizen is able to search on website across all FOIA releases and agency websites, including in text, and is able to view and download documents.

		2. Citizen is able to search on website across all FOIA released document links. 3. Citizen is able to search on website across all FOIA releases posted to an enterprise inventory from an agency's website.

4. Citizen is able to search for FOIA released records and if no records are returned is provided with a list of agencies that might maintain records on that topic

Goals Supported	Requirement being met?	Acceptance Criteria
1-3	No for the Acceptance Criteria.	1. If a user is returned with no responsive records to a search on the website, is provided with a list of agencies to make a request to.

5. Citizen is guided to other available services based on topic of interest that could satisfy query outside of the FOIA request process

Goals Supported	Requirement being met?	Acceptance Criteria
3	No for either Acceptance Criteria.	1. Based on keyword or category search, citizen is directed to other services or released information that might provide information without the need of filing a FOIA request. 2. Once agency/component is selected to submit a request, citizen is informed of other information services offered by that office that could provide information as well as a FOIA request.

6. Citizen is able to input required information for making a request that is unique to single agency/component, including uploading attachments

Goals Supported	Requirement being met?	Acceptance Criteria
4, 5	To an extent for Acceptance Criteria 1 and 2 on FOIAonline.	1. When submitting a FOIA request, citizen is prompted to provide additional information that an agency/component may require that is unique to their regulations for a request to be

		perfected, including attachments. 2. When submitting a FOIA request, citizen is informed that additional information may be required to submit separately in order for the request to be perfected.

7. When a citizen submits a request there needs to be feedback that the submission was accepted

Goals Supported	Requirement being met?	Acceptance Criteria
4	To an extent for all Acceptance Criteria through individual portals.	1. Citizen receives an on-screen confirmation. 2. Citizen receives an immediate email acknowledging request submission. 3. After the request is perfected, citizen receives an email with a unique agency number.

8. An estimated user-request input time of five minutes (not including typing the question)

Goals Supported	Requirement being met?	Acceptance Criteria
4	To an extent for Acceptance Criteria 1 through individual portals.	1. Citizen is able to input sufficient information in order to submit a perfected request in five minutes or less

9. Users have the ability to track their request after submission

Goals Supported	Requirement being met?	Acceptance Criteria
7	To an extent for either Acceptance Criteria through individual portals.	1. User receives notification of their request ID from agency/component and is able to find status information on single website. 2. User receives notification of their request ID from agency/component and how to request status/updates online.

10. Citizen is able to view Annual FOIA Report data from agencies as a graphical and table representation

Goals Supported	Requirement being met?	Acceptance Criteria
1	Yes for both Acceptance Criteria on FOIA.gov.	1. Citizen is able to query website to display data from various

		sections of the Annual FOIA Report from multiple agencies and across multiple years as both a graph and table. 2. Citizen is able to query website to display various data fields from the Annual FOIA Report from multiple agencies, across multiple years, and across multiple sections as both a graph and a table.

11. Citizen is able to download Annual FOIA Report data in an open format by individual sections by agency and year as well as across agencies and years

Goals Supported	Requirement being met?	Acceptance Criteria
1	Yes for Acceptance Criteria on FOIA.gov.	1. Citizen is able to export queued Annual FOIA Report data results to a CSV file.

12. Citizen is able to download individual agency Annual FOIA Reports in an open format

Goals Supported	Requirement being met?	Acceptance Criteria
1	No for Acceptance Criteria 1. To an extent for Acceptance Criteria 2 FOIA.gov and OIP website.	1. Citizen is able to download whole agency Annual FOIA Report in a CSV file. 2. Citizen is able to download all agency Annual FOIA Reports as XML files for viewing in DOJ tool.

13. Citizen is able to view all agency Annual FOIA Report data aggregated to the agency level as government-wide figures as both a graphical representation and table of data.

Goals Supported	Requirement being met?	Acceptance Criteria
1	No for Acceptance Criteria 1. Yes for Acceptance Criteria 2 FOIA.gov.	1. Citizen is able to queue website to display graphically and in a table government-wide figures of Annual FOIA Report data by section, across sections, and across years. 2. Citizen is able to queue website to display government-wide data in a table across years.

14. Citizen is able to view agency quarterly FOIA report data

Goals Supported	Requirement being met?	Acceptance Criteria
1	No for Acceptance Criteria 1. Yes for Acceptance Criteria 2 FOIA.gov.	1. Citizen is able to view trend-line of agency quarterly FOIA report data dating back to Fiscal Year

		2013 for all quarters made available by agency. 2. Citizen is able to view current fiscal year quarterly report data made available by the agency.

15. Citizen is able to learn about the FOIA process through pages designated for frequently asked questions and a glossary

Goals Supported	Requirement being met?	Acceptance Criteria
1	Yes for Acceptance Criteria on FOIA.gov.	1. Citizen is provided with answers to frequently asked questions in a Q&A format that covers the FOIA process and the information available on the site, as well as with a glossary of FOIA terms. Pages have the ability to have media content embedded, such as videos or pictures.

16. Citizen is able to access agency specific pages with agency descriptions, FOIA contact information, FOIA report links, the ability to make a request to that agency, and agency FOIA reference materials

Goals Supported	Requirement being met?	Acceptance Criteria
1, 5	No for Acceptance Criteria 1. Yes for Acceptance Criteria 2 FOIA.gov.	1. Citizen is able to navigate to agency specific page with information about the agency, FOIA contact information, links to FOIA reports, agency FOIA reference materials (such as FOIA regulations and FOIA reference guides), and the ability to make a request to that agency. 2. Citizen is able to navigate to agency specific page with FOIA contact information and links to agency FOIA websites for more information.

17. Citizens is able to access *FOIA Post* articles through website

Goals Supported	Requirement being met?	Acceptance Criteria
1	Yes for Acceptance Criteria on FOIA.gov.	1. Citizen is able to access all published *FOIA Post* articles made available by OIP.

18. Citizen is provided with a feedback mechanism to submit comments, feedback about the site.

Goals Supported	Requirement being met?	Acceptance Criteria
1	No for Acceptance Criteria 1. Yes for Acceptance Criteria 2 FOIA.gov.	1. Citizen is provided with a web form to submit feedback and comments about the site to DOJ. 2. Citizen is provided with an email address to use for submitting feedback and comments about the site.

19. Website is responsive to mobile devices.

Goals Supported	Requirement being met?	Acceptance Criteria
1	To an extent for Acceptance Criteria on FOIA.gov.	1. Consolidated portal is designed to be responsive on mobile devices running iOS, Android, and Windows.

20. Website is 508 compliant

Goals Supported	Requirement being met?	Acceptance Criteria
1-4, 7	Yes for Acceptance Criteria on FOIA.gov.	1. Consolidated portal passes DOJ 508 acceptance criteria

21. Portal will supports an API to allow third-party sites to make requests for users

Goals Supported	Requirement being met?	Acceptance Criteria
4, 5	No for Acceptance Criteria.	1. A published API is available for third-party sites. 2. Users are submitting FOIA requests via the API from a site that is not the portal. 3. Metrics are available on how many requests are being submitted via the API.

Agency experience

1. Agency user is able to upload raw data spreadsheet for Annual FOIA Report generation directly to site and have validation checks performed (See Appendix 2)

Goals Supported	Requirement being met?	Acceptance Criteria
6	No for Acceptance Criteria.	1. Agency user imports a raw data spreadsheet of Annual FOIA Report data to site and have validation checks performed on the data with error report returned to user. Agency user is able to resubmit until all

		validation checks are cleared.

2. After clearing validation checks, Agency user is able to submit cleared data to OIP for review.

Goals Supported	Requirement being met?	Acceptance Criteria
6	No for Acceptance Criteria.	1. Agency case management system submits data through site to OIP for final review. Data is downloadable by OIP. OIP is able to submit feedback back to agency, and agency has ability to resubmit. 2. Agency user submits data through site to OIP for final review. Data is uploaded to site by agency user and downloaded by OIP. OIP is able to submit feedback back to agency, and agency has ability to resubmit. 3. Agency submits notification through site to OIP that data is cleared for review. Agency submits data through email.

3. Once cleared by OIP, site creates machine readable and human readable versions of agency Annual FOIA Report.

Goals Supported	Requirement being met?	Acceptance Criteria
6	Yes for Acceptance Criteria through current DOJ Annual Report tool.	1. OIP user is able to generate XML and human-readable versions of the Annual FOIA Report through site and provide files to agency user for posting on individual agency website.

4. Cleared XML Annual FOIA Reports are automatically uploaded to a staging area of FOIA.gov for later publication.

Goals Supported	Requirement being met?	Acceptance Criteria
6	No for Acceptance Criteria.	1. XMLs are automatically uploaded to a FOIA.gov staging site so that Annual FOIA Report Data can be manually published by OIP user.

5. OIP user has the ability to bulk publish agency Annual FOIA Report from the staging website to the live FOIA.gov website.

Goals Supported	Requirement being met?	Acceptance Criteria
6	No for Acceptance Criteria.	1. Agency Annual FOIA Report

		XMLs are bulk published manually by an OIP user once it has been determined that the data is ready to go public.

6. Agency users are able to make updates to contact information and other agency information displayed on the site through a generator.

Goals Supported	Requirement being met?	Acceptance Criteria
4, 5	No for Acceptance Criteria.	1. Agency users are able to update contact information, agency request requirements, and other agency information in near-real-time, with no additional human intervention through a generator that creates a single file for all information that can be posted to the agency website.

7. File generated by agency contact/information generator and posted to it's website is extractable on a per agency basis

Goals Supported	Requirement being met?	Acceptance Criteria
4,5	No for Acceptance Criteria.	1. Agency user is able to extract contact/agency information from the file that is created by the generator through an interface or API.

8. DOJ and OIP are able to view usage metrics for the portal using Google Analytics

Goals Supported	Requirement being met?	Acceptance Criteria
	No for Acceptance Criteria.	1. OIP or DOJ user is able to use Google Analytics to view use metrics and monitor traffic on the site.

Policy

1. Complies with DOJ privacy guidelines outlined at: http://www.foia.gov/privacy.htm.
   A. Information Collected and Stored Automatically
   B. If You Send Us Personal Information
   C. COPPA
   D. Cookies
   E. Our Social Network Policy
   F. Security

Goals Supported	Requirement being met?	Acceptance Criteria
	Yes, on FOIA.gov	Validation through the A&A.

System

1. The government needs to maintain integrity of submitted request

Goals Supported	Requirement being met?	Acceptance Criteria
	Inconsistantly, through manual methods.	1. Use of SSL and https for submissions and data transmissions 2. Security precautions to avoid the upload of malware or cyber attacks 3. When not using the API, Security checks to validate if a human submitted the request.

2. Data transfers between FOIA systems must be in a standard format (e.g. CSV or XML)

Goals Supported	Requirement being met?	Acceptance Criteria
	Not consistently across the FOIA web-sites	1. Data transfers to FOIA websites will be in a standard format. 2. Reports will be received in a standard format.

Capacity

1. System must be initially able to handle varying volumes of the diverse Federal Agencies.
    - The service must be elastic to the Agency needs and needs to handle the volume of data that is being ingested and transferred to the correct agency system.
    - The service must be extensible as the data could grow over time.

Goals Supported	Requirement being met?	Acceptance Criteria
	Anecdotally, yes. The current distributed FOIA systems have not been measured in an automated method that the central portal will need to be.	Using test data, automated performance testing shall be performed after every patching/upgrade. Functionality and performance shall be measured.

Security

1. The FOIA Service must meet the following U.S. Government requirements: Federal Information Security Management Act of 2014 (FISMA), Privacy Act of 1974, E-Government Act of 2002, National Institute of Standards and Technology (NIST) Special Publications (SP), including NIST SP 800-37, 800-53, and 800-60 Volumes I and II, Federal Information Processing Standards (FIPS) Publications 140-2, 199, and 200, OMB Memoranda, and the requirements of the Federal Risk and Authorization Management Program (FedRAMP) In addition, the FOIA Service must meet the DOJ IT Security Standards and DOJ Order 2640.2, as amended.

Goals Supported	Requirement being met?	Acceptance Criteria
Compliance with security requirements	Yes.	1. Authorization to operate granted by DOJ.

2. System needs to receive and transmit secure information, such as document attachments

Goals Supported	Requirement being met?	Acceptance Criteria
	No	1. Documents attached to request submissions will be encrypted during transfer from public user to agency user. 2. Documents attached to a request submission are placed in a secure location by the system where an agency user can retrieve the documents.

FORM 7600B, ATTACHMENT A

IAA Number:

STATEMENT OF WORK FOR 18F SERVICES TO BE PROVIDED TO DEPARTMENT OF JUSTICE

1.0 BACKGROUND

The Office of 18F (18F), through the General Services Administration (GSA) / Technology Transformation Service (TTS), is a team of designers, engineers, product managers, and strategists. 18F is a civic consultancy for the government, inside the government, enabling agencies to rapidly deploy tools and services that are consistent with human-centered design, agile development, and related modern techniques.

The Requesting Agency, for purposes of this Statement of Work (SOW), is the Department of Justice (DOJ), Office of Information Policy. DOJ is charged with building a consolidated online Freedom of Information Act (FOIA) request portal to meet statutory requirements contained in the FOIA Improvement Act of 2016. Overall, DOJ is looking to improve the FOIA process for requesters and agencies alike.

DOJ is engaging 18F to help define a vision for this portal as well as a roadmap for improving citizens' ability to find existing documents, decrease the amount of time it takes to submit and obtain outcomes of a FOIA request, and track the statuses of these requests. 18F may use research findings of the existing open.foia.gov platform to inform or establish a baseline for this vision and roadmap. Specifically, 18F's efforts will highlight what is important to prospective users who submit a FOIA request using a structured request form and explore the potential for adding a search functionality across all federal websites and released FOIA documents. Research on the search and interoperability issues done during this engagement will inform potential future phases of work.

2.0 APPROACH

18F takes an agile and human-centered approach to developing digital products and services. This means 18F works in short iterations (sprints), in which a scope of work is planned, executed, and demonstrated with stakeholders for the purposes of informing the next iteration. This approach relies on rapid experimentation and user feedback, ultimately ensuring that solutions are shaped by the needs of the people DOJ serves.

18F will use this approach in working collaboratively with DOJ on an eleven-week discovery effort (Discovery), where Discovery is a set period of time for 18F and DOJ to explore and define the problem space and create an actionable roadmap for addressing it. The goal with this Discovery will be to determine how DOJ could approach the first goal of creating a structured FOIA request form that includes the most accurate agency contact information, and to

determine if and how searching for records and interoperability with other systems may be incorporated into the process of creating and sending this structured request. Additionally, 18F and DOJ will collaboratively explore how to create the structured FOIA request form in a way that guides the requester to the correct agency for making the request.

As part of this Discovery, 18F will undertake a combination of user research and prototyping activities to identify the characteristics of a Minimum Viable Product (MVP). **User research** involves techniques and methods (such as those described at https://methods.18f.gov/discover/) to help understand users' motivations and inform what adjustments should be made to reach the desired outcomes. For DOJ this will include collecting information from key stakeholders and users to determine what features, functionality, and content organization should be addressed both on DOJ's agency request form as well as in a cross-agency FOIA document search tool.

Prototyping is aimed at testing the hypotheses and assessing the viability of potential solutions, both technically and in terms of what DOJ as an organization can support. Prototypes can be of varying degrees of fidelity - they can be simple wireframes or coded web pages - and are never representative of the end-product. They are lightweight experiments aimed at exploring unknowns, such as potential approaches to technical integration, or how users may respond to certain aspects of a proposed interface, and are meant to advance our understanding of potential solutions. Using prototyping as a tool also clarifies complexity and mitigates risk for a follow-on implementation phase.

18F will also rely on the existing open.foia.gov platform to inform these Discovery activities, investigating what it currently offers and how users interact with it in order to potentially reach our desired outcomes sooner during Discovery. 18F may employ findings from research of open.foia.gov as a starting point for additional user research as well as a baseline for additional user testing, allowing 18F and DOJ to incorporate learnings from this existing system into new iterations or prototypes.

To support this approach, it is essential that 18F has the support of a dedicated and empowered Product Owner within DOJ who is responsible for representing the project and its deliverables to DOJ and providing 18F with consistent access to relevant users and stakeholders. The Product Owner should also serve as the "champion for the project," by offering strategic advice and ensuring the active participation of key stakeholders for the duration of the project.

Additionally, it is essential that 18F has the support of a dedicated project team within DOJ who are responsible for pairing with the 18F team over the course of this work. This team will be actively involved in the project with the ability and capacity to manage this work in any follow-on engagement. This team should include: a project manager, a python and/or node developer, a UX designer/researcher, and a system security subject matter expert. The 18F project manager will work collaboratively with the DOJ project manager to address any issues related to overall

project/sprint planning, deliverables, resources, budgets, technical solution, testing, etc. The UX designer/researcher and system security subject matter expert are preferred to be actively involved at the project's onset whereas the python and/or node developer will be actively involved as close to the onset of the project as possible.

3.0 PROCESS OVERVIEW

18F will collaborate with DOJ to:

1. Conduct a kickoff workshop that aligns goals and expectations for the effort.
2. Conduct expedited discovery activities (interviews, workshops, research into the technical feasibility of any solution) to explore and define the problem space, hypotheses and metrics, and to create an initial backlog with opportunity areas for prototyping.
3. Develop prototypes to test hypotheses about technical feasibility and user needs, incorporating feedback into future sprints, and to assess the feasibility of specific approaches.
4. Deliver a report of findings that articulates key learnings and which establishes parameters for an MVP in the form of a roadmap and groomed backlog of user stories and tasks, informed by actual users. The report will also include high-level recommendations for agency requirements for which governmentwide guidance may be necessary.
5. Conduct research into interoperability and search, and incorporate findings into development/backlog/roadmap as indicated.

4.0. DELIVERABLES AND TIMELINE

The following timeline is aimed at providing relative direction around the timing of key deliverables. It assumes an eleven-week timeline for discovery. All day estimates assume business days and do not include federal holidays.

Deliverable	**Due By**
Kickoff meeting	Set upon mutual agreement of both parties.
Ongoing communication, active learning, and continual partnerships are formed to prepare for a handoff to DOJ CIO and CTO liaisons in various technical and operational areas (e.g. infrastructure, security, development)	Continuous & Ongoing From the Kick Off Meeting

Report of Findings (learnings from discovery and prototyping, interoperability and search research, rationale, and parameters for MVP definition in addition to high-level recommendations for agency requirements, as well as a sustainment plan inclusive of ongoing infrastructure management, security monitoring, operations and maintenance, and active development, including any necessary acquisition and contracting activities) to be presented in written form	< 90 days of the kickoff meeting
An outbrief with partner (summary of the findings and a discussion of vision, groomed backlog of user stories, and outline of actionable and technically implementable policies, and next steps)	< 90 days of the kickoff meeting
All research and software iteration artifacts, including designs, images, source codes, etc.	< 90 days of the kickoff meeting

These deliverables will ensure that after eleven weeks, DOJ has a clear understanding of the problem space and their users needs. This includes not just what the problems are, but what solutions DOJ's intended audience will accept and use, as well as the technical feasibility of any solution, and what solutions DOJ as an organization can support going forward. Success here is not a heavy-handed research and documentation effort but rather a targeted effort that provides a snapshot of the situation and clear guidance on future direction.

This clearly articulated recommendation for how DOJ should proceed will also guide a retrospective conversation between 18F and DOJ at the project's conclusion. Specifically, this information will be used to help determine the necessity and feasibility of any additional phases of work, be they completed by 18F or another partner.

5.0. REIMBURSEMENT

Reimbursement for the above listed deliverables is to be provided on an actual cost basis. Actual cost means all GSA's costs including (1) labor costs, charged at current rates (2) non-labor costs, contracted services, travel, and related expenses under this agreement.

The cost estimate for this project is **$331,240.68** and is based on a cross-functional team of strategists, designers, researchers, and engineers for an eleven-week period for discovery and the travel needed to support them.

6.0 USE OF CONTRACT SERVICES

18F may, consistent with law, delegated authorities, and applicable policy guidance, use contract services in fulfilling the agreed upon deliverables with advance notice to the Requesting Agency.

7.0 PROJECT STATUS AND REPORTING

GSA will provide a status of key milestones on a weekly basis, including recent accomplishments, planned activities, and risks and issues. The exact format of status reports will be determined collaboratively by 18F and the Requesting Agency and may consist of meetings, standups, a scrum board, or a combination thereof. GSA will also provide a status of financial accounting on a monthly basis. The majority of status meetings will happen over conference calls and/or video conferences to accommodate 18F's distributed team.

8.0 REQUESTING AGENCY REQUIREMENTS

To ensure best execution of work, Requesting Agency will provide access to the following upon request by the servicing agency:

- Key personnel, including a dedicated Product Owner and other executive and staff-level agency employees, that can actively guide 18F in its work by providing subject matter expertise and strategic advisement.
- Documentation and data as available and appropriate (e.g., data sets, previous research, etc).
- Access to Requesting Agency contracting and/or legal staff
- Facilities and equipment (including necessary credentials)
- Key users and vendors for research and testing, with the following actions to provide for appropriate lines of responsibility between Requesting Agency,18F, and Requesting Agency contractors and vendors:

    (1) The Requesting Agency POC and 18F will coordinate in writing, in advance, on the identities of any Requesting Agency contractors or vendors whom Requesting Agency directs 18F to interact with to perform the work for Requesting Agency that is set out in this agreement.
    (2) Requesting Agency will advise its contractors or vendors whom it directs to interact with GSA/18F staff of the following, as Requesting Agency determines is appropriate:
        (a) GSA/18F staff are Federal employees performing work for Requesting Agency;

(b) the contractor/vendor should be aware of the identity of their Requesting Agency Contracting Officer. GSA/18F staff have no authority to make decisions related to the contract; only the Requesting Agency Contracting Officer does;
(c) GSA/18F staff are in an information gathering stage, at most in an advisory role to Requesting Agency, not in a decision-making role.

(3) For any meetings or other communications which include both 18F staff and Requesting Agency contractors or vendors, Requesting Agency will determine if it is appropriate to send an Requesting Agency representative (such as the Administrative Contracting Officer, Contracting Officer's Representative, or other designee) to participate.
(4) GSA/18F employees will copy the Requesting Agency POC on email (and other communications, as practicable) which include contractors or vendors, and will coordinate closely with the Requesting Agency POC on all matters involving contractors or vendors.

GSA will provide a status of key milestones on a weekly basis, including recent accomplishments, planned activities, and risks and issues. GSA will also provide a status of financial accounting on a monthly basis.

9.0 FUTURE PROJECT PHASES

Depending on the outcome of this engagement, TTS and DOJ may agree to proceed with future phases of the National FOIA Portal Project. One such phase may include front end web development work of the National FOIA portal at a cost of up to $500,000. Subject to availability of funds and TTS having the authority to fund the scope of the front end web development phase, TTS may utilize the Federal Citizen Services Fund to pay for the front end web development phase. This clause is informational only and not intended to obligate any funding for future phases of the National FOIA Portal project. Any funding for future phases of the National FOIA Portal project will be obligated through a separately executed IAA or MOU.

DOJ Office of Information Policy

interview date:
present from 18F: Jesse, Victor
present from DOJ:
facilitator:
notes:

Goal: Understand overall ecosystem with emphasis on process and value of sharing responsive records

- Workflows
  - Intake highlights
  - Email, FAX, snail mail (majority via post mail)
  - Responsive Records
- Pain Points
- Opportunities we might improve
- Technical and user considerations
- Raw Notes by recorders' name

Workflows

Intake highlights

= point of contact with requestor

Intake

- request made:
  - online in portal
  - email
  - physical letters
  - mail referral - AG or ??
  - equity referral
- Laurie assigns request to specific analyst (based on load, topics to certain people)
- enter into "privasoft" for tracking

Research

- Greg gets assigned request
- acknowledge request in 20 days

- clarify request (he prefers phone)
- could reroute internally to other components, or continues in his queue

- “wide net” search memo: pdf of actual request
- ind. respond if they have records and types of records

- receives/get records

- refines records
- “de-dupe” / use “clearwell” to home concept relevancies - could reduce millions to thousands of emails
- identify relevant records

Decision

- determine exemptions
- sometimes meet to decide
- noted/conversations in adobe acrobat
- doing exemptions - redactions / no overall

Response

- send responsive record to requestor
- rule of 3 - is gray area based on topic

Pain Points

- many clicks to find request form online
- no way to use case number for self serve released document retrieval
- rely on what Drupal can do
- few requests right now to FOIA document #
- library nested and not scannable
- “a response to one is a response to all” - gov / open gov adv.
- Jake key person to upload to Drupal website

- titles too short (logs) or very long sentence
- meta data weak (inside pdf or csv)
- not scannable or searchable across components
- not searchable
- not many documents there
- responsive records must be 508 compliant - alt tags - OCR
- concern of appropriate/safe metadata in pdf docs

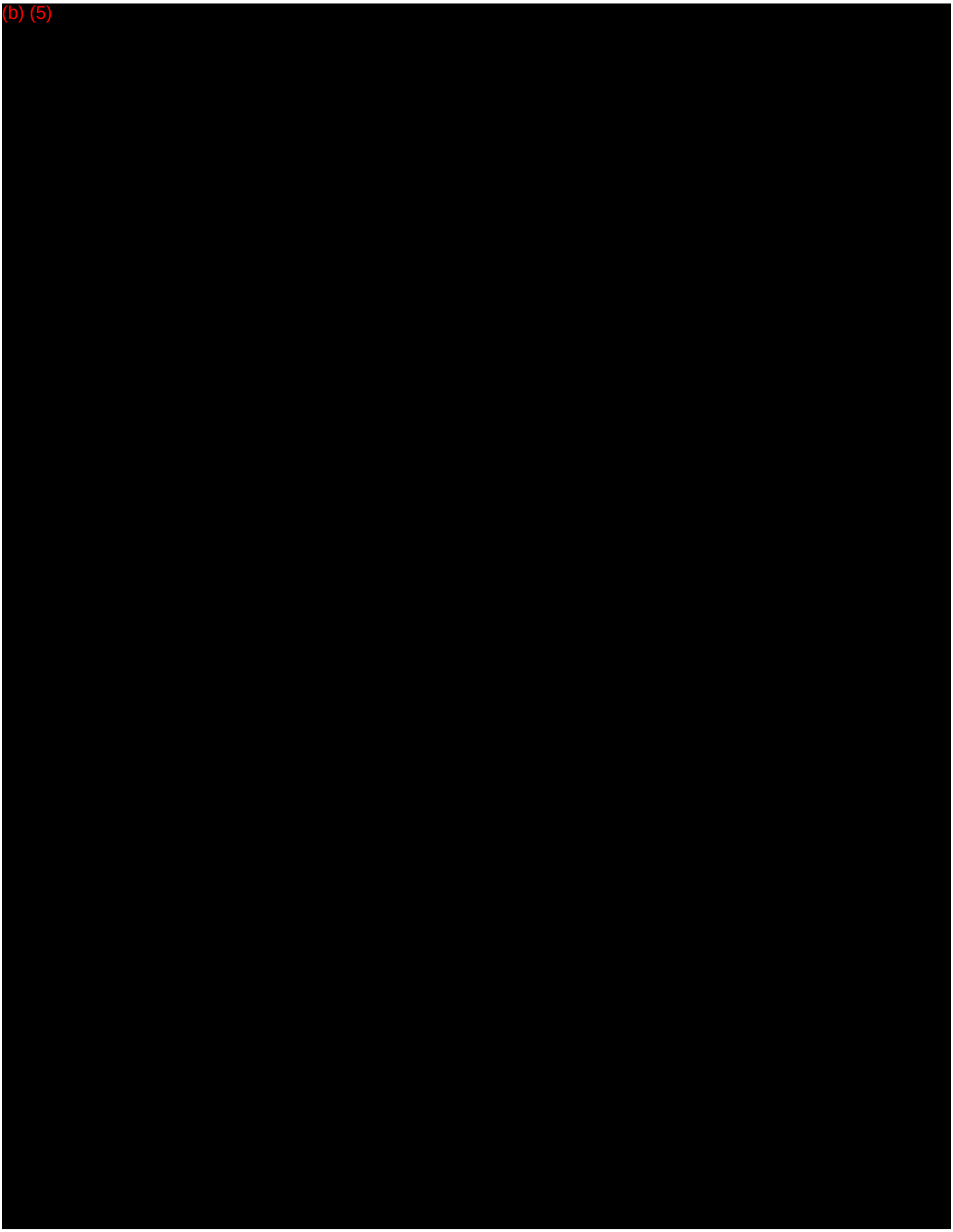
- searching through email - “there are some tools, but we haven’t bought them”

- “only 1 working scanner for our group”

Opportunities we might improve

- “proactive docs”
- frequently requested docs
- AG’s calendar
- FOIA logs by month / year - CSV

(b) (5)



Raw Notes by recorders' name

Raw notes by VZ

Jake, DOJ OIP - Special projects
    Open gov
Greg Alvarez, DOJ OIP
5 years, straight out of college
"I am in the thick of it. I do these requests every day."
    Process on behalf of senior leadership
    Core of my responsibilities is processing FOIA requests
    …
from start to finish
refining request
reach out to senior leadership to see who may have records
what is disclosable
what may be appropriate to be withheld
consultations when necessary

final reduction to the requester

sometimes involved in litigation

law index - justifies withholdings

1700-1800 requests/year across 7 offices
60/40 split, larger are 'miscellaneous requests'
Person doesn't know where they want to send their request

Backlog = 580-590

Backlog are "real" requests. Proper FOIA requests

Response to misc:
Provide info on what FOIA is, try to figure out what they're looking for
Why:
Individuals see attorney general
generic name
"Information policy" must have information

2011 portal

Through Clearwell

Privasoft

Intake comes from 4 sources:
www.justice.gov/oip/efoia-request-portal
email requests
physical mail
FAX?
mail referral unit (if you don't know who would have records)
referral via relevant records from sub-agency (FBI finds records relevant to AG office)

requirement within FOIA statute to route ***within*** an agency

Portal increases number of "miscellaneous requests"

grey area - 'law enforcement' (too vague)

"equity"

if senior leadership has any equity, they become 'primary equity'

If request received through portal, response through portal

[Q: WHAT'S THE PERCENT BREAKDOWN]

MS Word responses
Redactions in Adobe

documents not maintained digitally
emails collected digitally now

FOIA memo goes out via email w original request
individuals respond stating whether or not they have records, and types

90% people want stuff within last 2-3 years

rarely pre-Obama administration

microfilm response are rare

list of closed cases are on justice.gov/oip/ available documents

reporting year ends September 30, rush to close as many as possible
-close 10 oldest requests

[Workflow demo]
filtering
concept

10 days to route request to appropriate DOJ sub-agency

Dupes
Requests grouped together
CoS assigns subject matters to a team member
Same requests from same person is a duplicate request
One set of search memos

Rule of 3
If 3 of the same request are issued, attempt to actively disclosed
Not-topical, 3 requests **for the same record**
Popular topics, hot topics, "things of topical interest",
(example of 3 exact requests for same doc: appointment affidavit of the AG)

3x: Guidance for conducting interviews without providing Miranda warnings

rule of 3s posted at FOIA-Processed documents

Ham strung on posting docs. One working scanner
OIP just got access to Drupal backend

analysts flag things that need to be published
determination of publishable PDF - reductions burned in, OCR must be included,
DOJ web desk helps get PDFs to compliance

Twitter: @FOIAPost

10:10 The hope is that people look through existing documents before they file a request

Total number of requests received:
People find new topics or dig deeper

Miranda example: Civil society, watchdogs, news orgs,
News orgs more willing to work on scope, willing to make it worth everyone's while, timeliness matters
Civil society, watchdogs ask for all

Log shows topics and responses

Pro-active disclosure
Open format files
FOIA Logs, calendar are less frequently requested than prior due to pro-active disclosure

---

Hot topics - wait for requests, (like a day)
custodians of the records
reducing the number of requests by doing all these pro-active things will only do so much

Jake: "we don't maintain our record"

First in first out queue

tracking number not often cited
also not often *relevant*

---

public portal sites may

~200 numbers day
30% misc
60% new stuff
10% repeat

---

lots between agency and MoC

---

hot topics

lots of active disclosure

[VZ: Feature: agency can highlight topic or docs]

justice.gov/civil/foia-library
OIP available documents

Record types
A1 records - records that must be published in Federal Register
A2 records - final opinions, agency policy statements, administrative staff manuals and instructions, frequently requested records
A3 records - everything else. what most ppl send requests for

frequently requested records, may not be in FOIA library
most likely to be found by the person looking for it

person not looking in FOIA Library for memo from AG, agency policy statements

---

Biggest potential delta:
Clearwell eDiscovery

email is the problem

Clearwell eDiscovery tool built for litigation

---

searching through email is the biggest burden

---

export from Clearwell to Privasoft takes time
built with an eye towards FOIA that encompasses

majority of time spent in Clearwell, some logging/tracking time sent in Primasoft

---

Vaughn Index
"enormously burdensome"

---

eDiscovery tools have the most impact

struggle with email is universal

FBI
volume+complexity

---

common metadata tag - guidance

www.justice.gov/oip/blog/foia-guidance-11

“I am enamored with the format for data.gov"
“It keeps the onus not he agency to keep posting the records"
“Still makes it findeable, searchable, retrievable from a central nexus"

[VZ: Email Jake re: maintenance of a digital workflow. Guidance from OPM or DOJ?]

Data.gov 2.0

Department of Justice

Enterprise Web Services

FOIA DATABASE DESIGN & MAINTENANCE GUIDE

Document Revision 1.1
Date of Issue: July, 25, 2013

Process/Procedure Owner: Johann Huang

Change History

Revision	Date	Author	Description of Revision
1.0	August 18, 2011	Johann Huang	Initial draft.
1.1	July 25, 2013	Damian Danchenko	Updated 3.1 and 3.2, for handling FOIA Contacts updates. Made it more descriptive, and updated server IP.

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1. Introduction

1.1 Purpose

The purpose of this document is to describe the database schemas for FOIA project, which provides online interactive features to browse the details of the latest departments/agencies' FOIA information. The data in the database are updated periodically by the information provided from each individual department/agency in United States.

This document only pertains to the FOIA.gov database(s), the relevant schema, and the related functionality and systems.

For information about the technical development and design of the FOIA application and web site, please see the document: "FOIA Application Design Guide.doc"

For information about the standard operating procedures when working with FOIA.gov, or for a more basic overview of the project, please see the document: "FOIA.gov SOP.doc"

1.2 Scope

This guide applies to the following servers and systems in the development network:

(b) (7)(E) per JMD

1.3 Roles

The following systems serve the following roles in FOIA.gov:

- System (b) (7)(E) per JMD plays as web server.
- System (b) (7)(E) per JMD provides java application server features.
- System (b) (7)(E) per JMD contributes the MySQL database server.

1.4 Location

On the staging server, the (b) (7)(E) per JMD database server is installed on system (b) (7)(E) per JMD with schema name "foia.gov".

On the production server, the (b) (7)(E) per JMD database server is installed on system (b) (7)(E) per JMD and the schema name is "foia.gov".

Local copy of the (b) (7)(E) per JMD database server can be found on system (b) (7)(E) per JMD with (b) (7)(E) per JM as schema name.

The source codes for this project are located at:

(b) (7)(E) per JMD

And:

(b) (7)(E) per JMD

The pre-programming Access database is located at:

(b) (7)(E) per JMD

The pre-defined application server connectivity is located at:

(b) (7)(E) per JMD

1.5 Dependencies

The information in this document is dependent on the following systems:

(b) (7)(E) per JMD

1.6 Security and User Accounts

Development and Production (b) (7)(E) per JMD account: (b) (7)(E) per JMD

1.7 Definitions and Acronyms

N/A.

1.8 References

N/A.

1.9 Inquiries

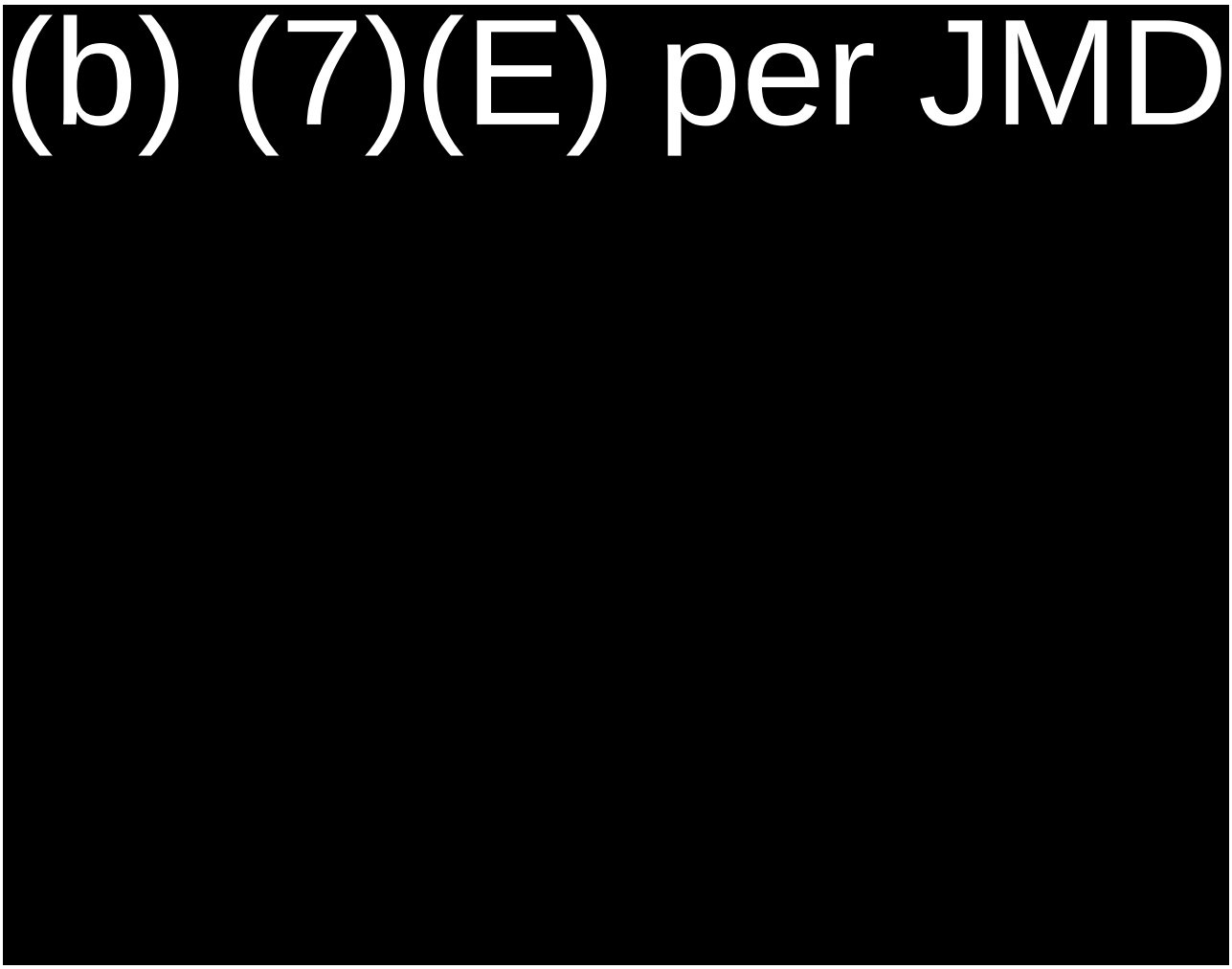
Johann Huang, johann.huang@usdoj.gov, 202-305-2848.

1.10 Trouble Shooting

2. Process Architecture

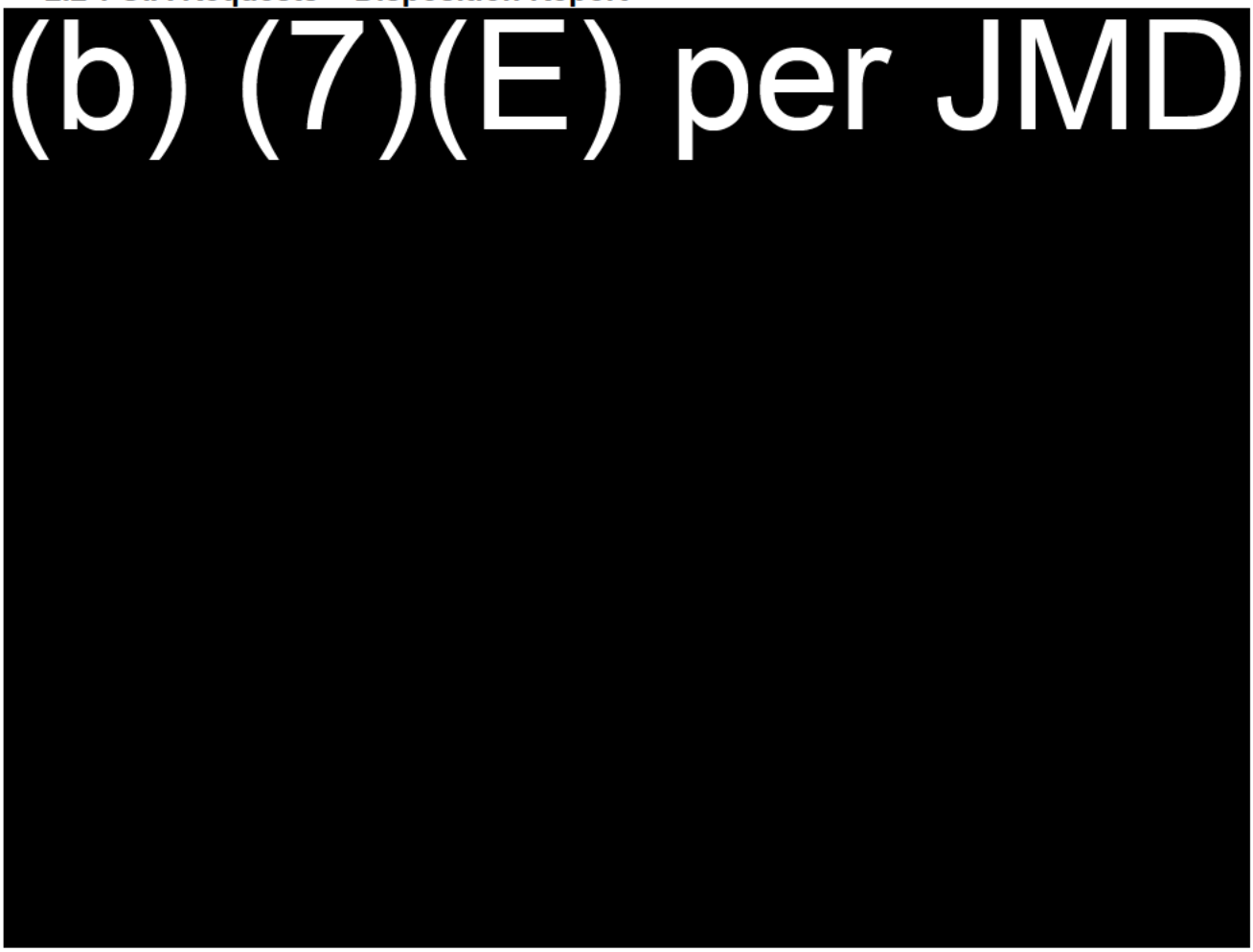
The following diagrams are showing the way to construct variety FOIA reports from information gathered database.

2.1 FOIA Requests Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.2 FOIA Requests – Disposition Report



1. According to two parameters, '(b) (7)(E) per JMD and '(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

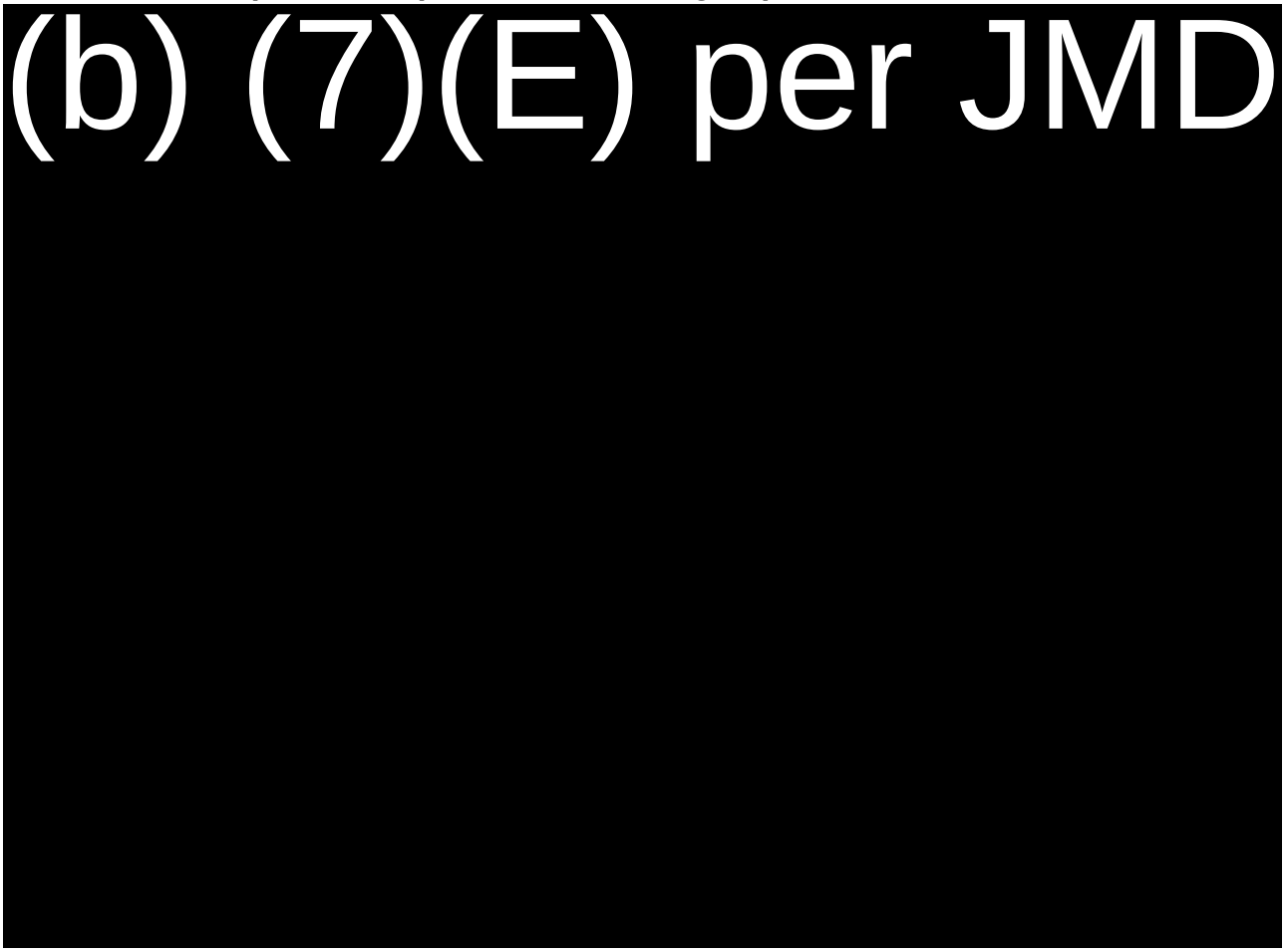
2. Each '(b) (7)(E) per JMD from table is corresponding to the different column on the report, and field '(b) (7)(E) per JMD is the data for the column.

3. Here are the field '(b) (7)(E) per JMD mappings,

   - No. of Full Grants – 0.
   - No. of Partial Grants/Partial Denials – 1.
   - No. of Denials Based on Exemptions – 2.
   - No Records - 3.
   - All Records Referred – 4.
   - Request Withdrawn – 5.
   - Fee-Related Reason – 6.
   - No Reasonably Described – 7.
   - Improper FOIA request – 8.
   - Not Agency Record – 9.

- Duplicate Request – 10.
- Other – 11.
- Total – 12.

2.3 Foia Requests – Expedited Processing Report

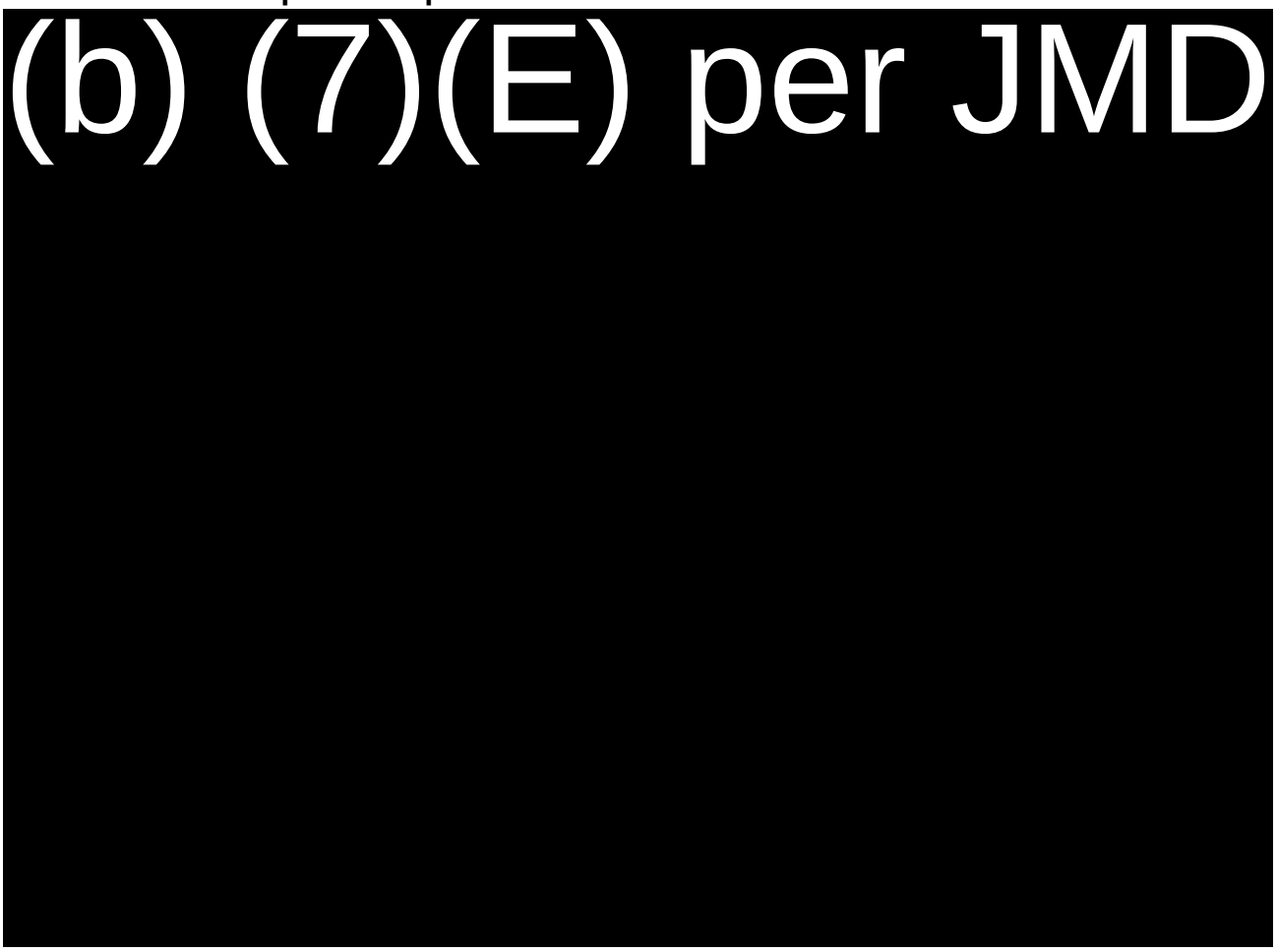


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With field "(b) (7)(E) per JM = 1, each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

    - Number Granted – 1.
    - Number Denied – 2.
    - Median Number of Days to Adjudicate - 3.
    - Average Number of Days to Adjudicate – 4.
    - Number Adjudicated within 10 Calendar Days – 5.

2.4 Foia Exemptions Report



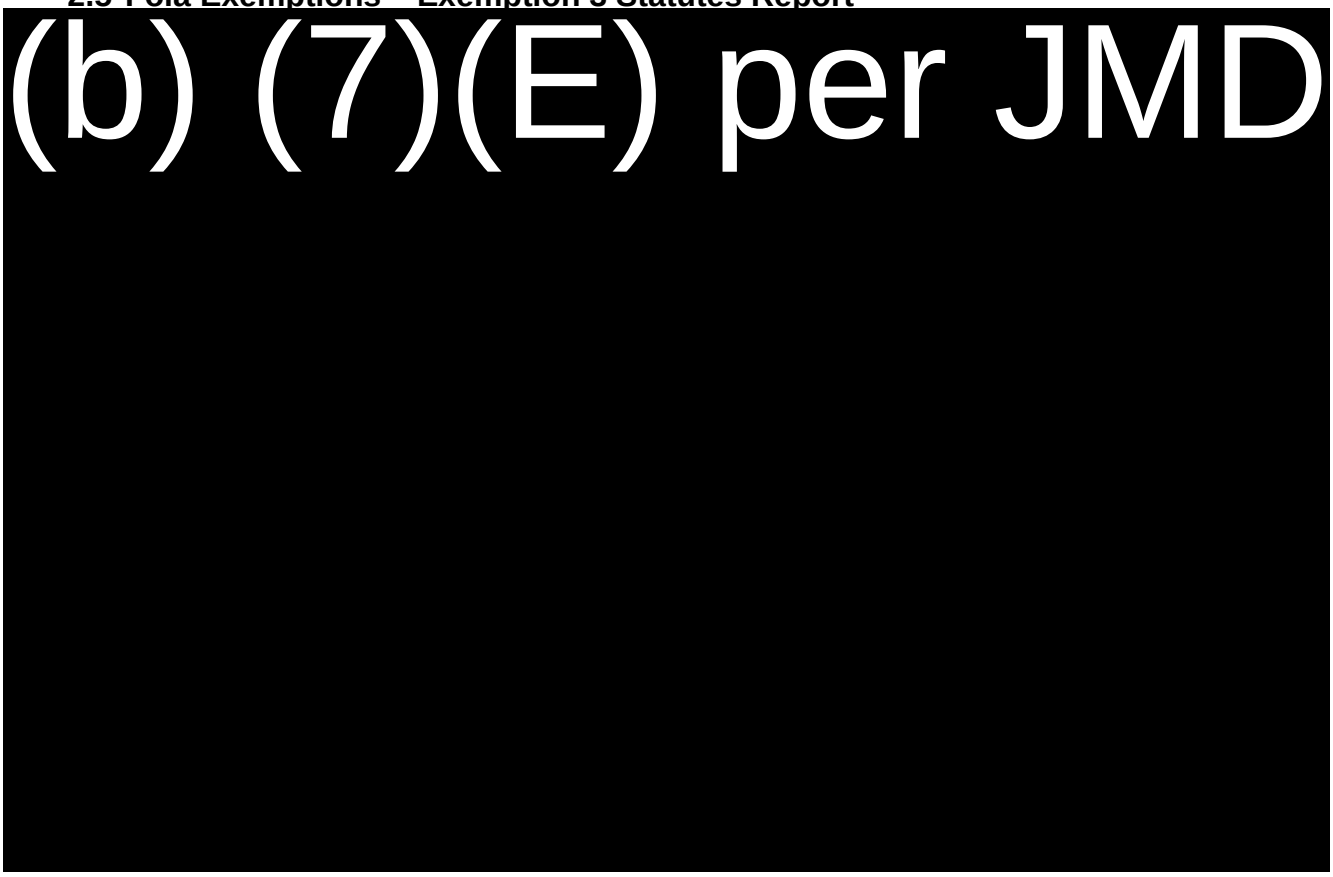
1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - Ex.1 – 1.
   - Ex.2 – 2.
   - Ex.3 - 3.
   - Ex.4 – 4.
   - Ex.5 – 5.
   - Ex.6 – 6.
   - Ex.7(A) – 7.
   - Ex.7(B) – 8.
   - Ex.7(C) – 9.
   - Ex.7(D) – 10.
   - Ex.7(E) – 11.
   - Ex.7(F) – 12.
   - Ex.8 – 13.

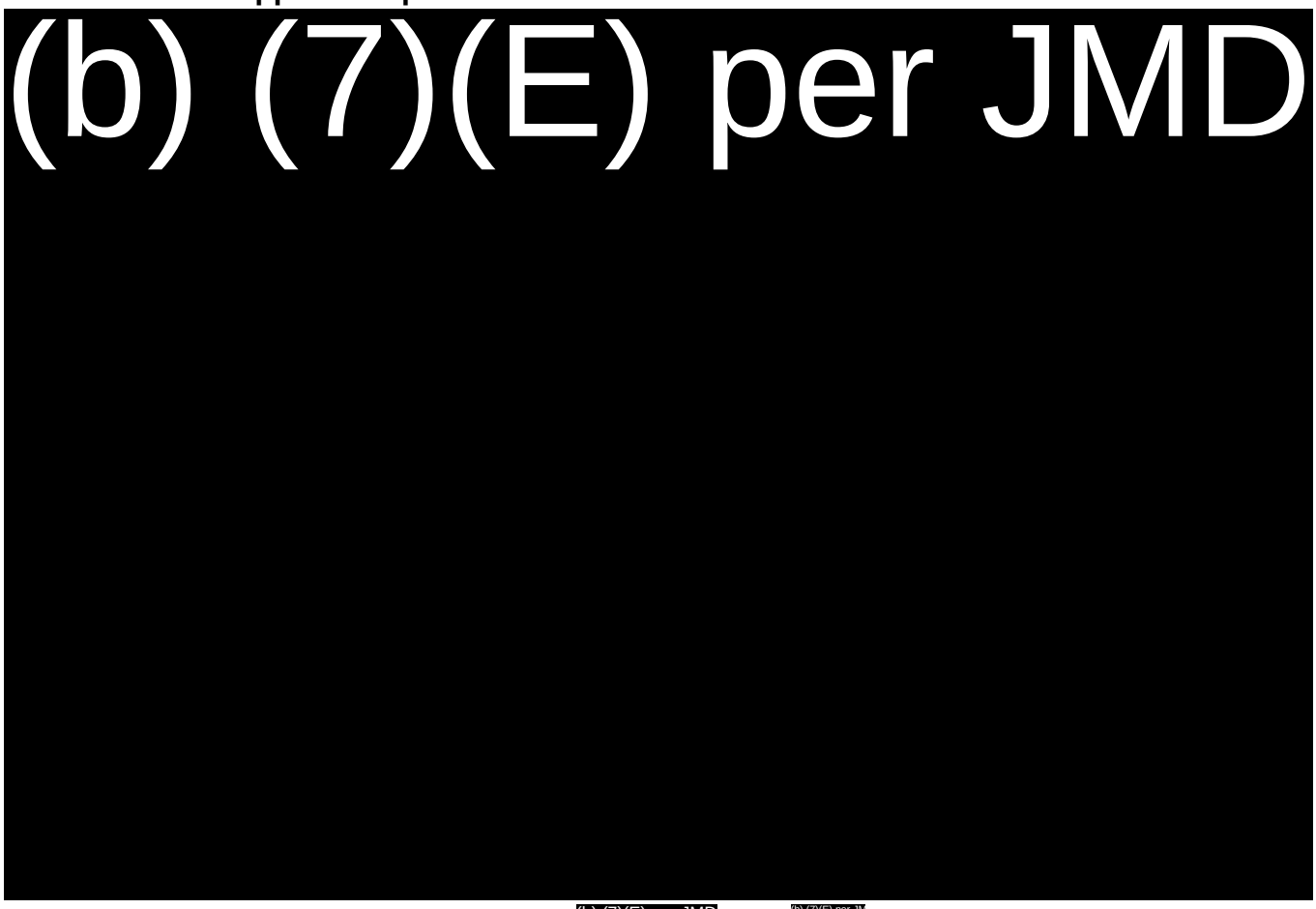
- Ex.9 – 14.

2.5 Foia Exemptions – Exemption 3 Statutes Report



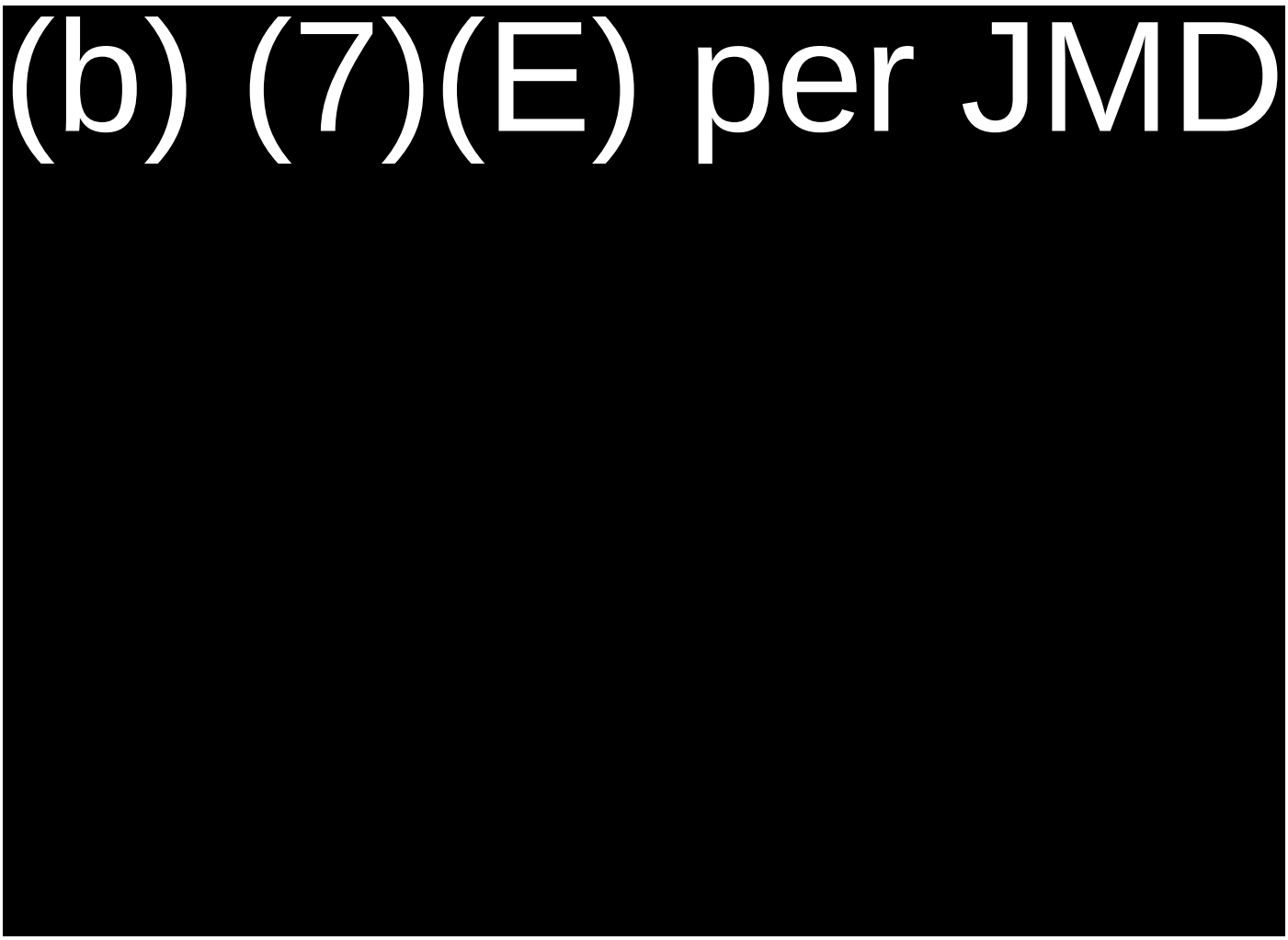
1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.6 FOIA Appeals Report



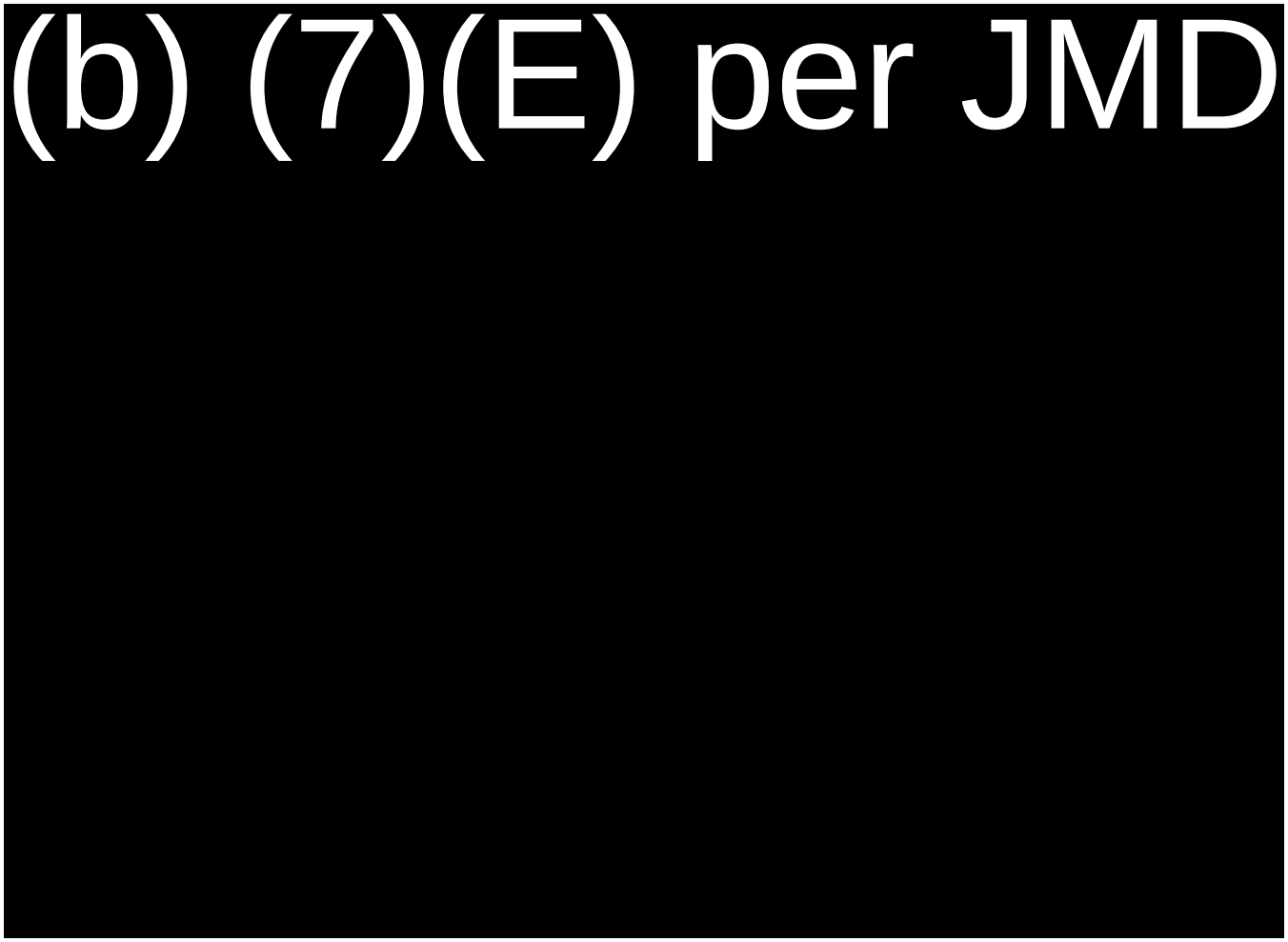
1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.7 FOIA Appeals – Disposition (Dis.) Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.8 FOIA Appeals – Dis. – Use of Exemptions



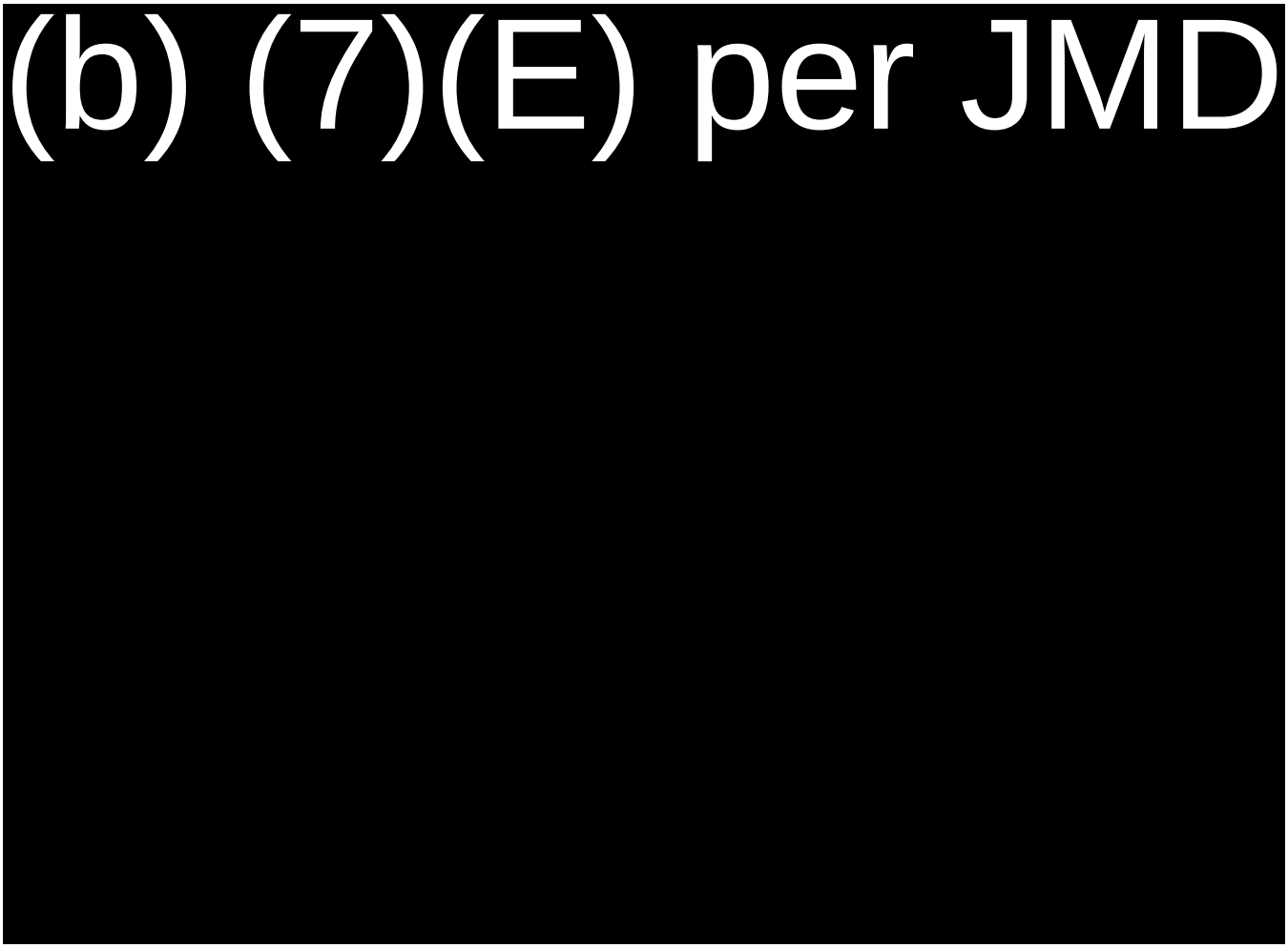
1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - Ex.1 – 1.
   - Ex.2 – 2.
   - Ex.3 - 3.
   - Ex.4 – 4.
   - Ex.5 – 5.
   - Ex.6 – 6.
   - Ex.7(A) – 7.
   - Ex.7(B) – 8.
   - Ex.7(C) – 9.
   - Ex.7(D) – 10.
   - Ex.7(E) – 11.

- Ex.7(F) – 12.
- Ex.8 – 13.
- Ex.9 – 14.

2.9 FOIA Appeals – Dis. Other than Exs. Report



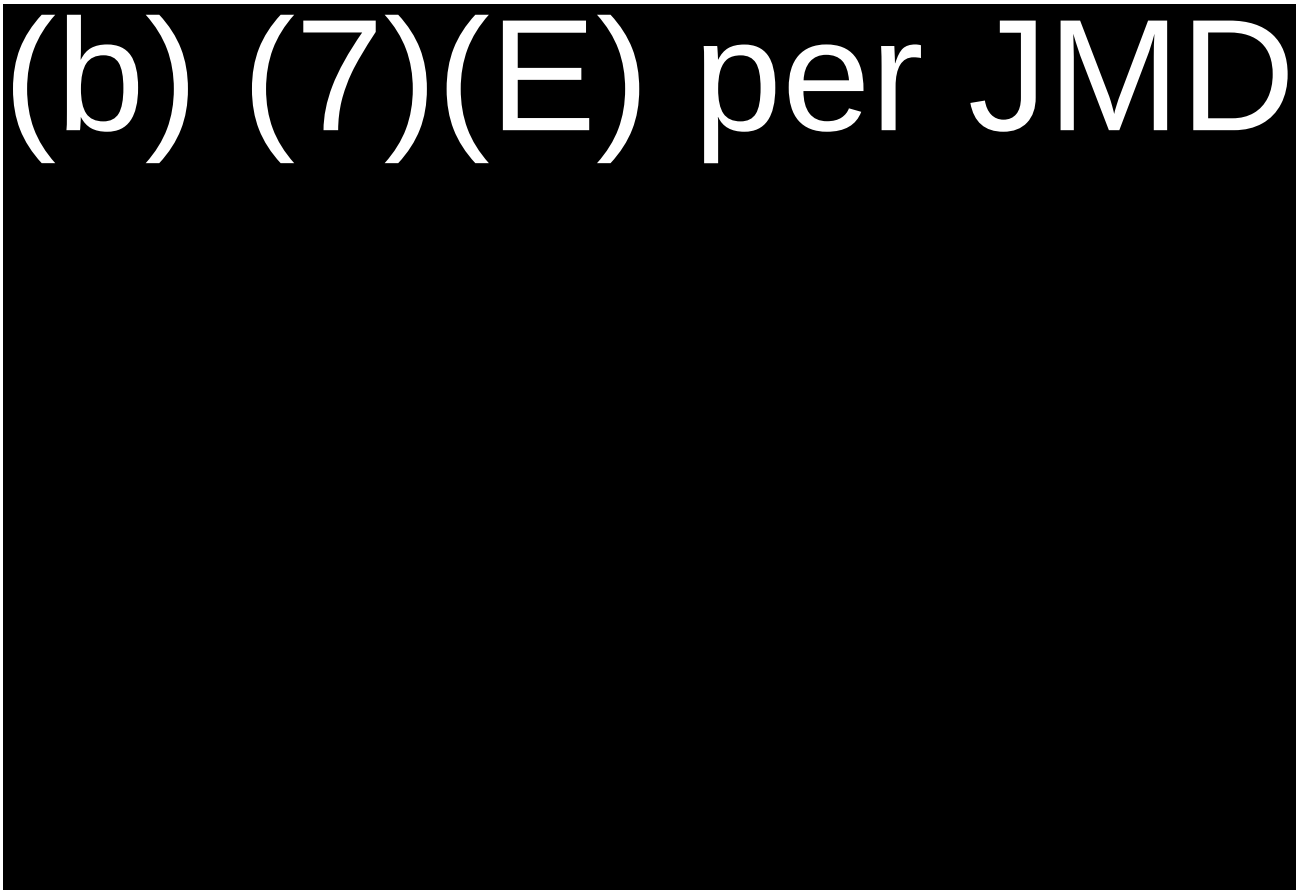
1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - No Records – 1.
   - All Records Referred – 2.
   - Request Withdrawn - 3.
   - Fee-Related Reason – 4.
   - Not Reasonably Described – 5.
   - Improper FOIA request – 6.

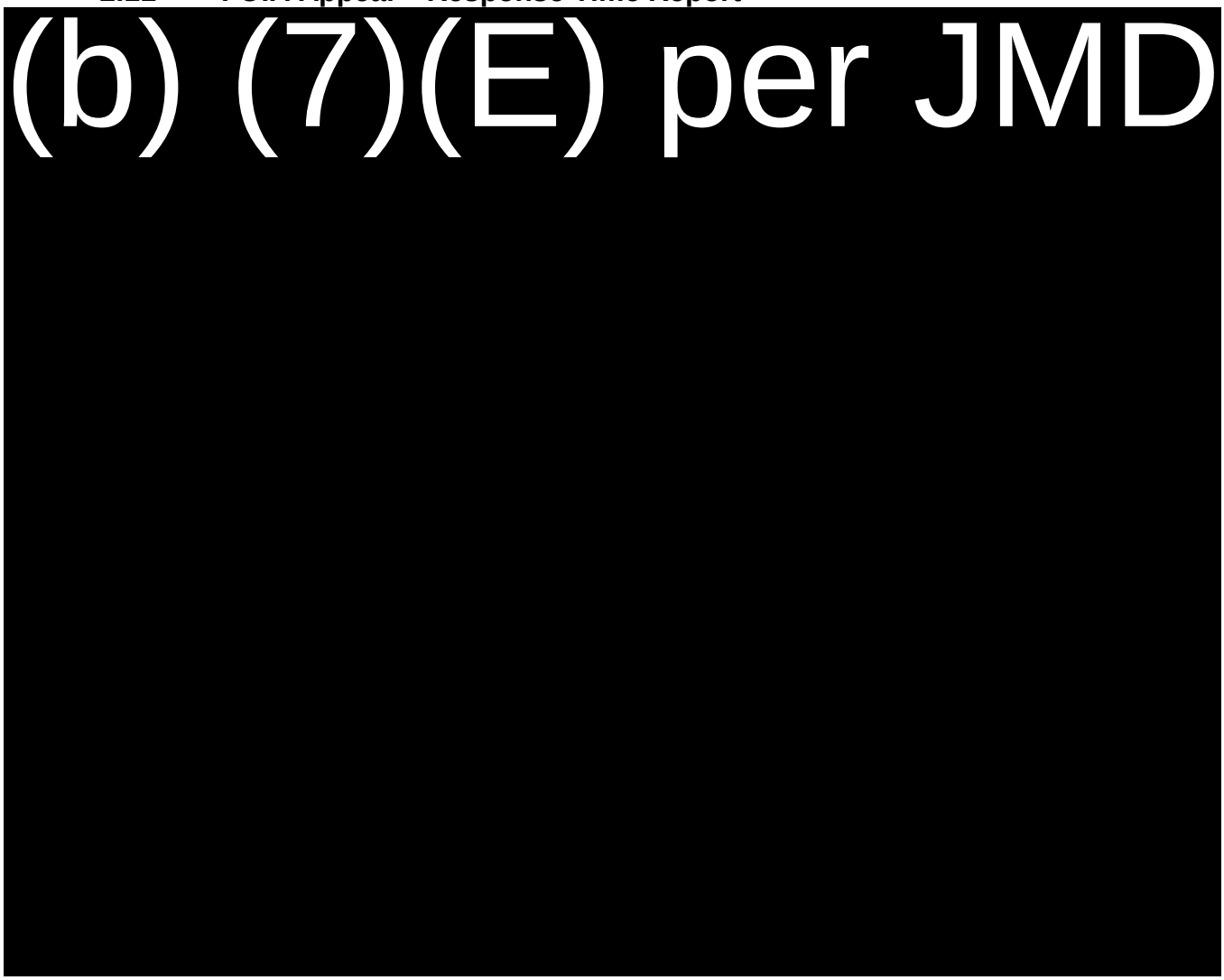
- Not Agency Record – 7.
- Duplicate Request – 8.
- Request in Litigation – 9.
- Appeal Based Solely on Denial for Expedited Processing – 10.
- Other – 11.

2.10 FOIA Appeals – Dis. – "Other" Reasons Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.11 FOIA Appeal – Response Time Report

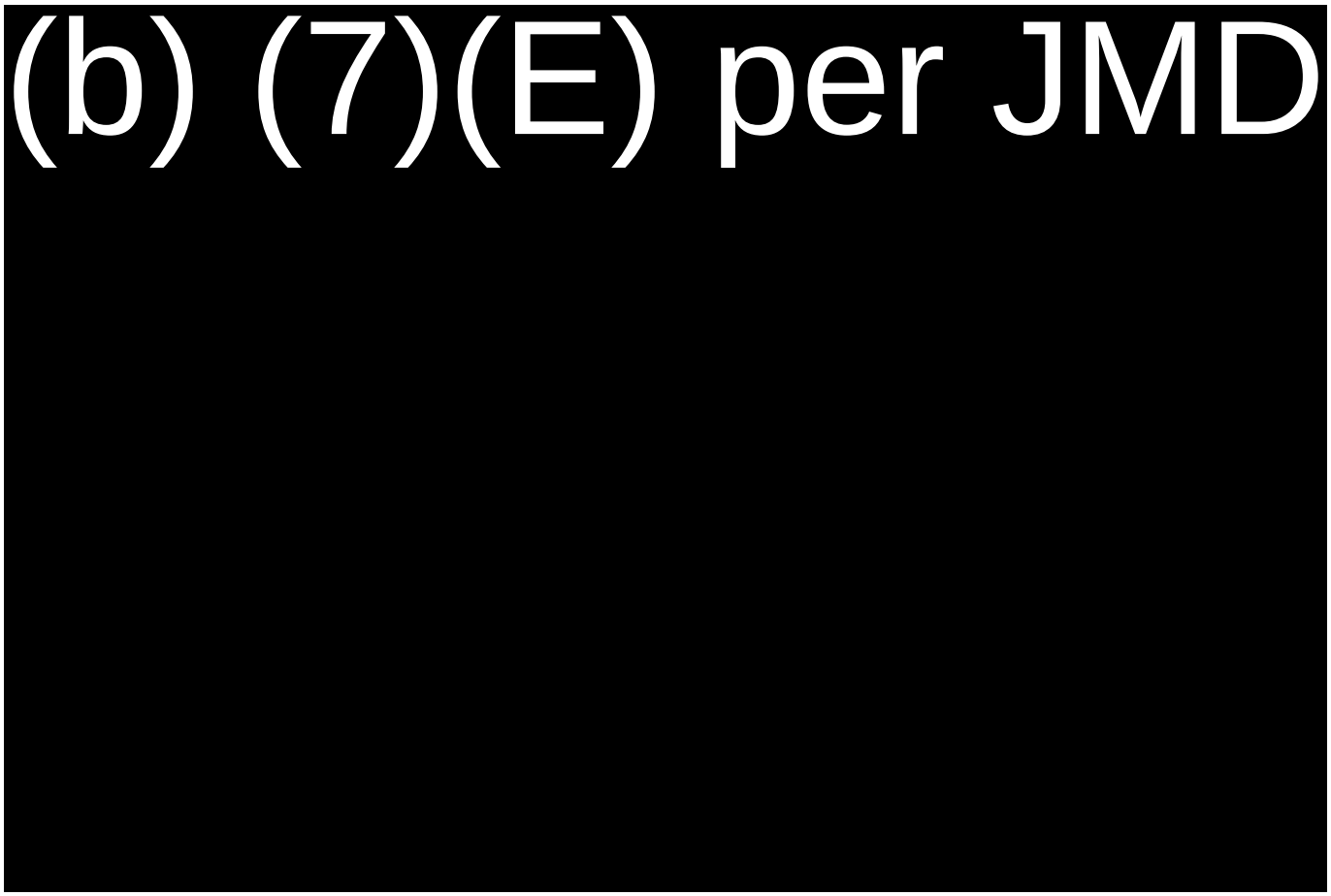


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - Median Number of Days – 1.
   - Average Number of Days – 2.
   - Lowest Number of Days - 3.
   - Highest Number of Days – 4.

2.12 FOIA Appeals – Ten Oldest Pending Report

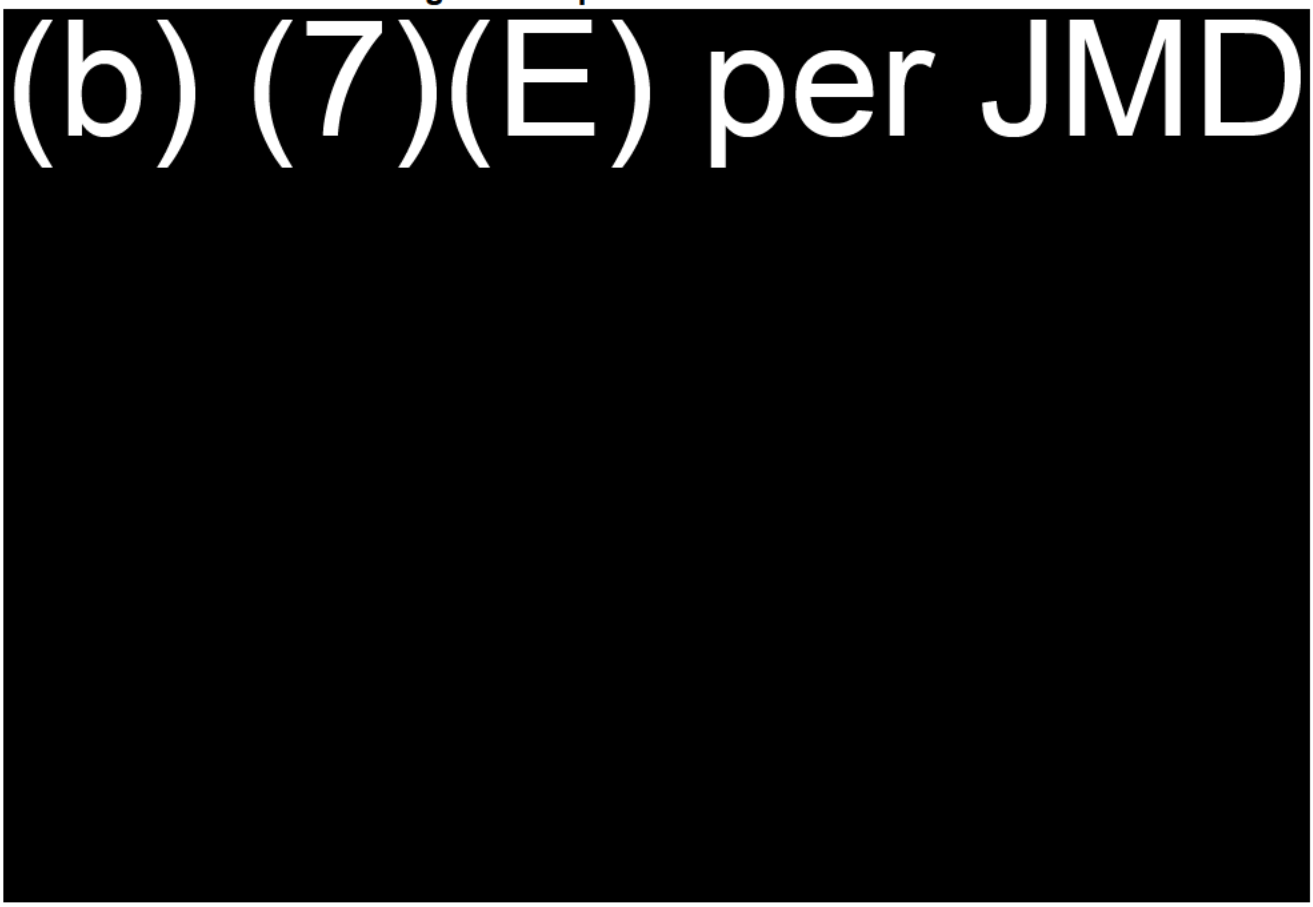


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD and "(b) (7)(E) per JMD as corresponding column's data for two different rows.

   - Oldest Appeal – 1.
   - 2nd – 2.
   - 3rd - 3.
   - 4th – 4.
   - 5^{th} – 5.
   - 6^{th} – 6.
   - 7^{th} – 7.
   - 8^{th} – 8.
   - 8^{th} – 9.
   - 10^{th} – 10.

2.13 FOIA Processing Time Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data with criteria "(b) (7)(E) per JMD" from tables to construct the report.

2. The returned data categorized into 3 categories differentiated by "(b) (7)(E) per JMD as following:

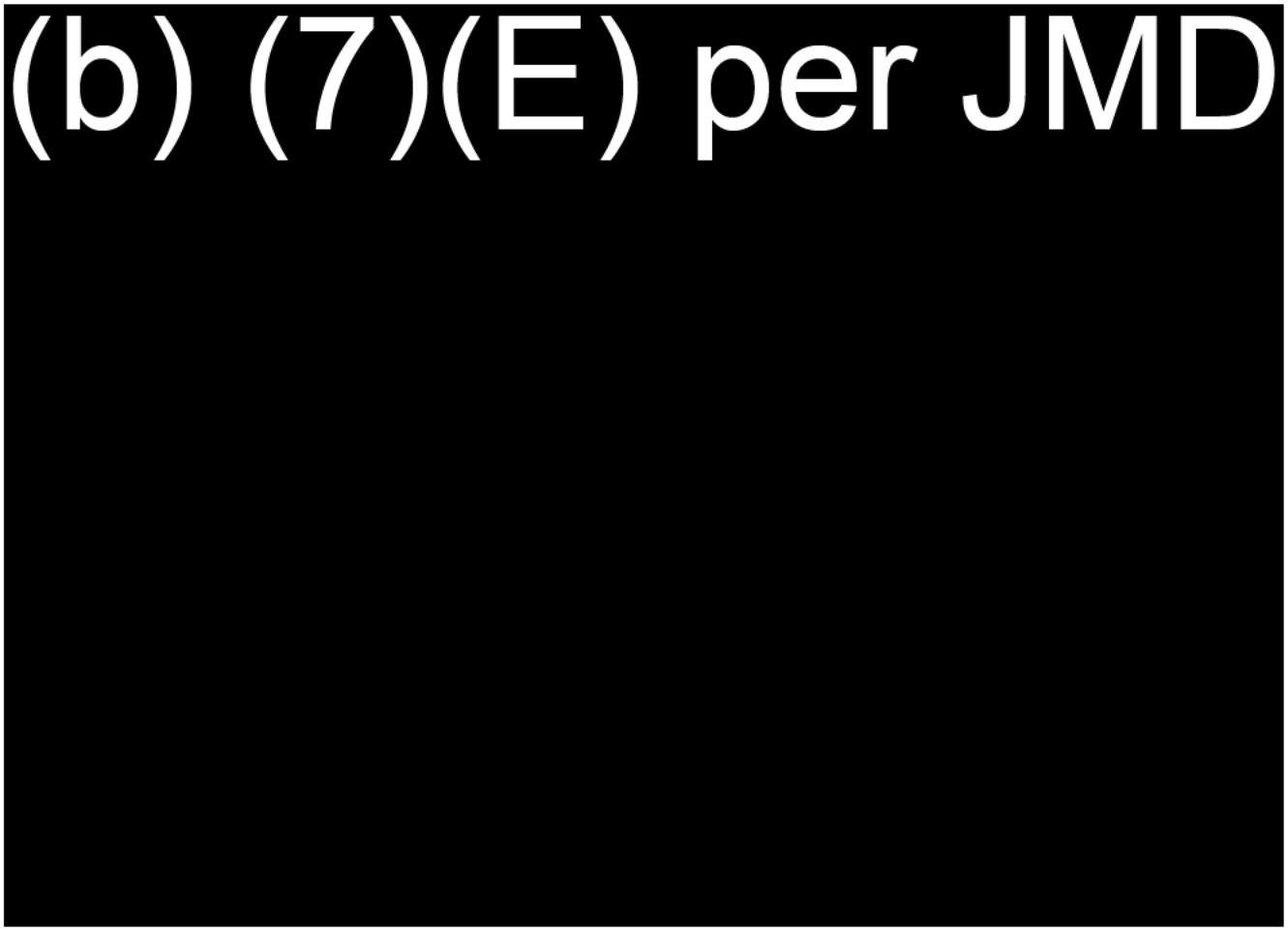
   - Simple – 1.
   - Complex – 2.
   - Expedited – 3.

3. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - Median No. of Days – 1.
   - Average No. of Days – 2.
   - Lowest No. of Days - 3.
   - Highest No. of Days – 4.

4. The "(b) (7)(E) per JMD with data "-1" means "<1" on the report.

2.14 FOIA Processing Time – Requests Granted Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data with criteria "(b) (7)(E) per JMD" from tables to construct the report.

2. The returned data categorized into 3 categories differentiated by "(b) (7)(E) per JMD as following:

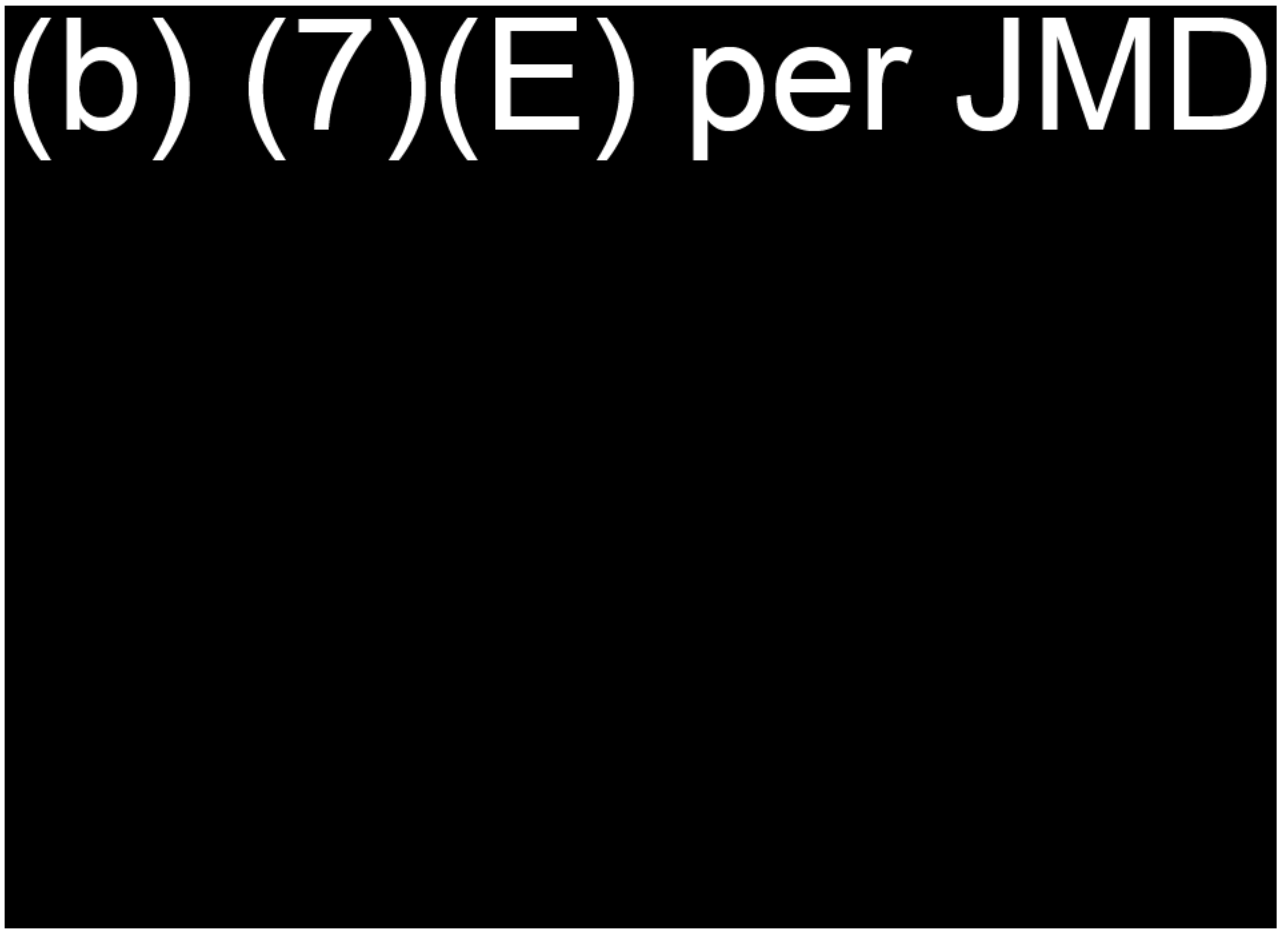
   - Simple – 1.
   - Complex – 2.
   - Expedited – 3.

3. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - Median No. of Days – 1.
   - Average No. of Days – 2.
   - Lowest No. of Days - 3.
   - Highest No. of Days – 4.

4. The "(b) (7)(E) per JMD with data "-1" means "<1" on the report.

2.15 FOIA Processing Time – Simple Requests Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data with criteria "(b) (7)(E) per JMD" from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JM is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

    - 1-20 Days – 1.
    - 21-40 Days – 2.
    - 41-60 Days – 3.
    - 61-80 Days – 4.
    - 81-100 Days – 5.
    - 101-120 Days – 6.
    - 121-140 Days – 7.
    - 141-160 Days – 8.
    - 161-180 Days – 9.
    - 181-200 Days – 10.
    - 201-300 Days – 11.
    - 301-400 Days – 12.

- 400+ Days – 13.
- Total – 14.

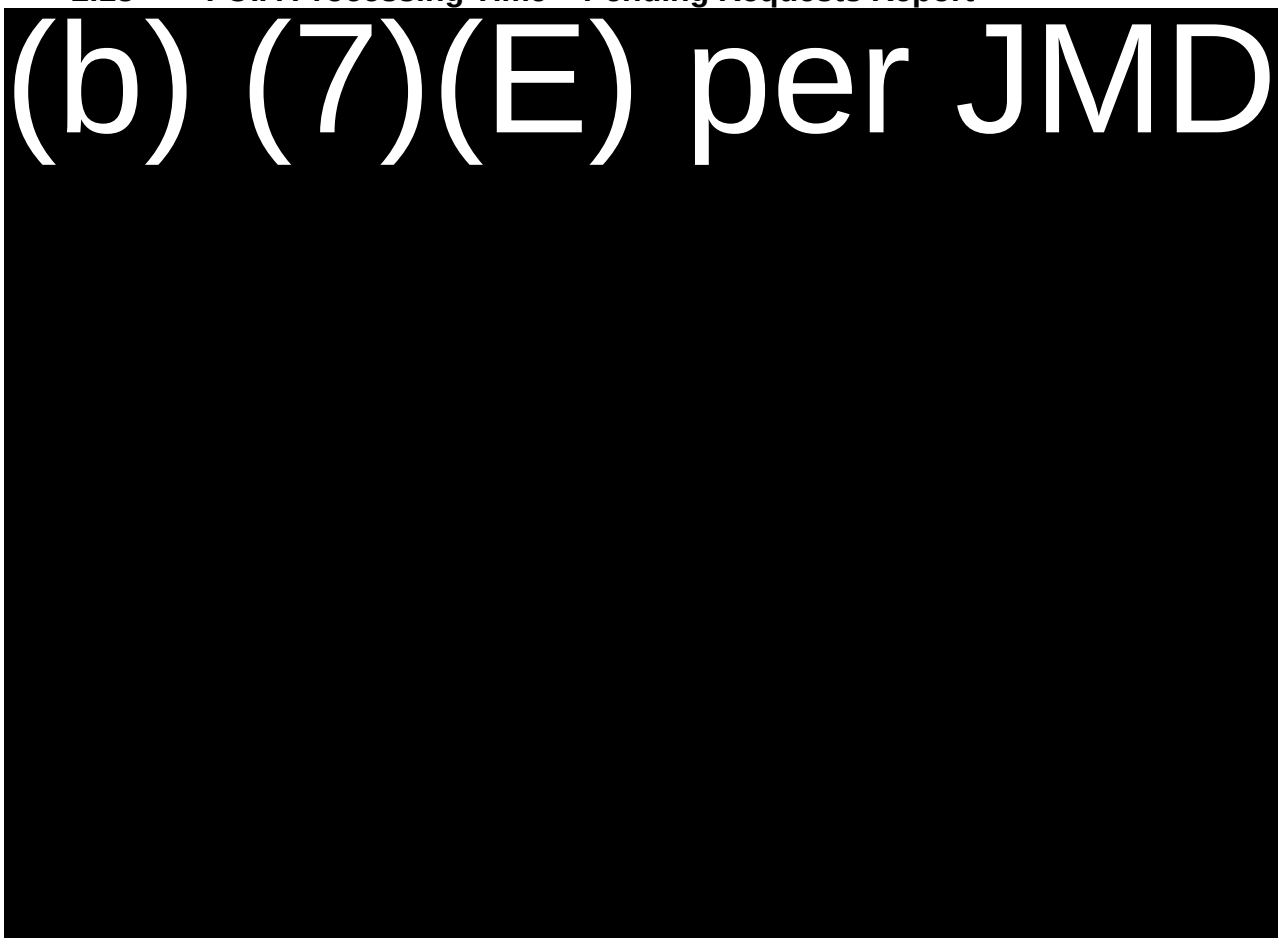
2.16 FOIA Processing Time – Complex Requests Report

1. Please refereeing to section 2.15 diagram, the only difference to construct this report is the query criteria set "(b) (7)(E) per JMD".

2.17 FOIA Processing Time – Expedited Requests Report

1. Please refereeing to section 2.15 diagram, the only difference to construct this report is the query criteria set "(b) (7)(E) per JMD".

2.18 FOIA Processing Time – Pending Requests Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

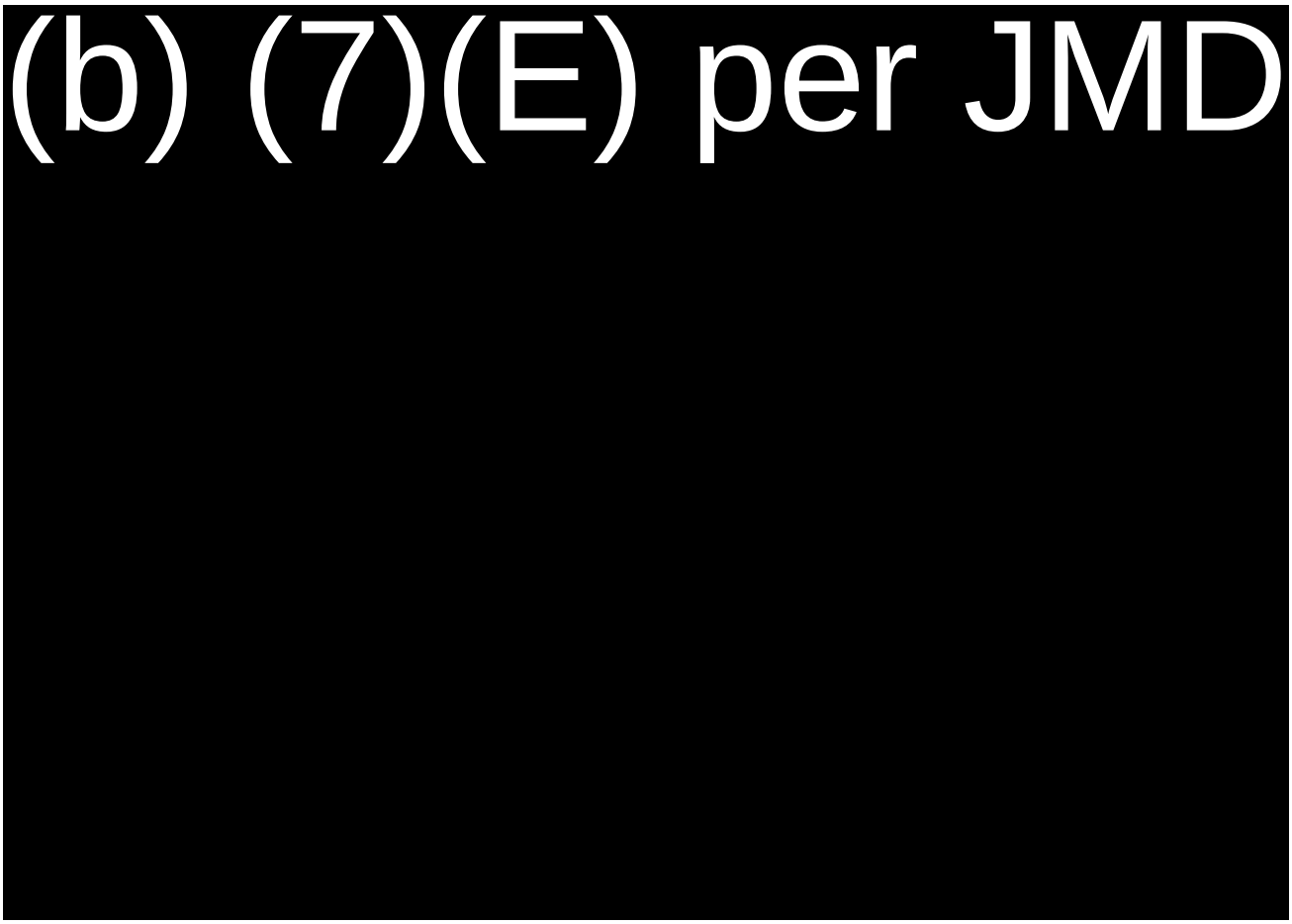
2. The returned data categorized into 3 categories differentiated by "(b) (7)(E) per JMD as following:

    - Simple – 1.
    - Complex – 2.
    - Expedited – 3.

3. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

    - Number Pending – 1.
    - Median No. Of Days – 2.
    - Average No. Of Days – 3.

2.19 FOIA Processing Time – Ten Oldest Requests

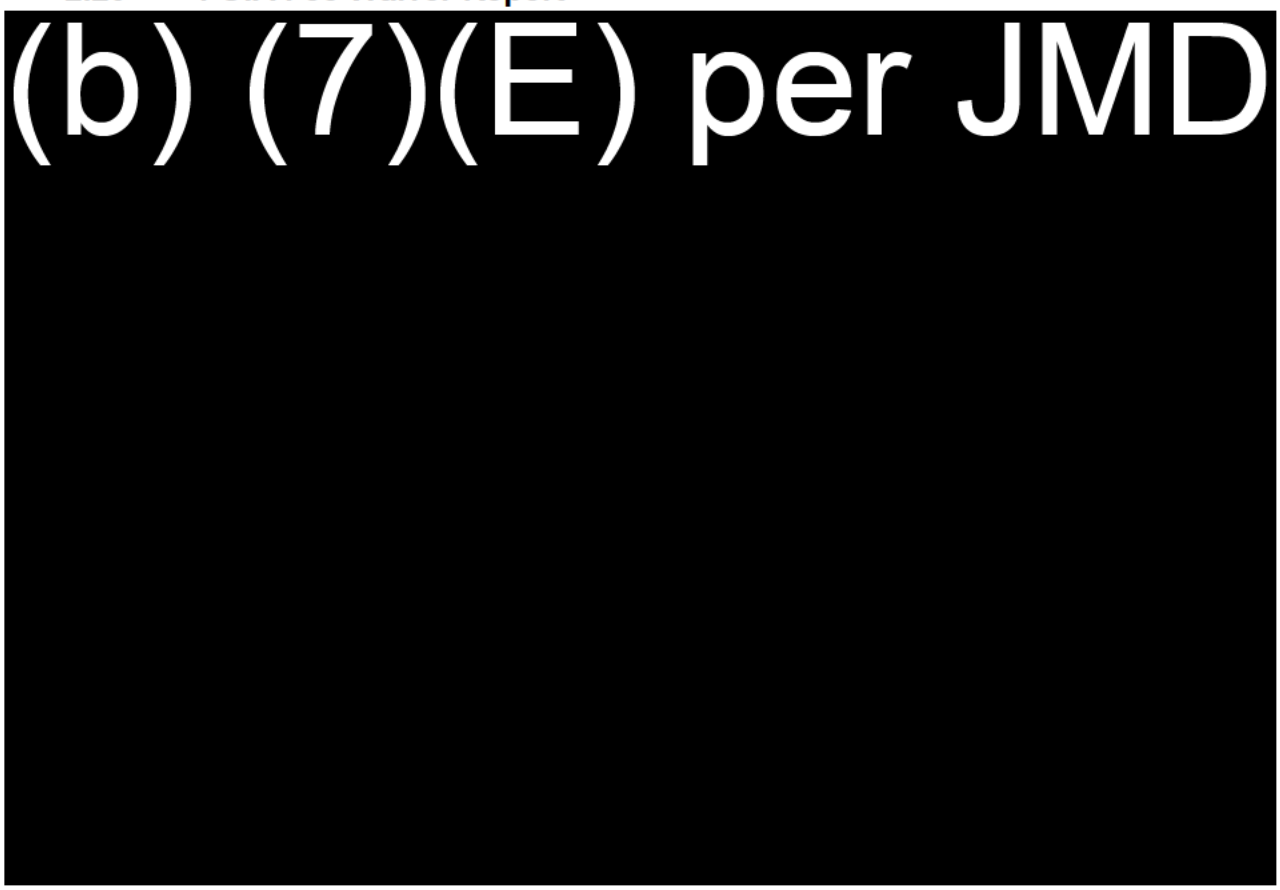


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "[redacted]" each "[redacted]" is mapping to field "[redacted]" and "[redacted]" as corresponding column's data for two different rows.

- Oldest Appeal – 1.
- 2nd – 2.
- 3rd - 3.
- 4th – 4.
- 5th – 5.
- 6th – 6.
- 7th – 7.
- 8th – 8.
- 8th – 9.
- 10th – 10.

2.20 FOIA Fee Waiver Report

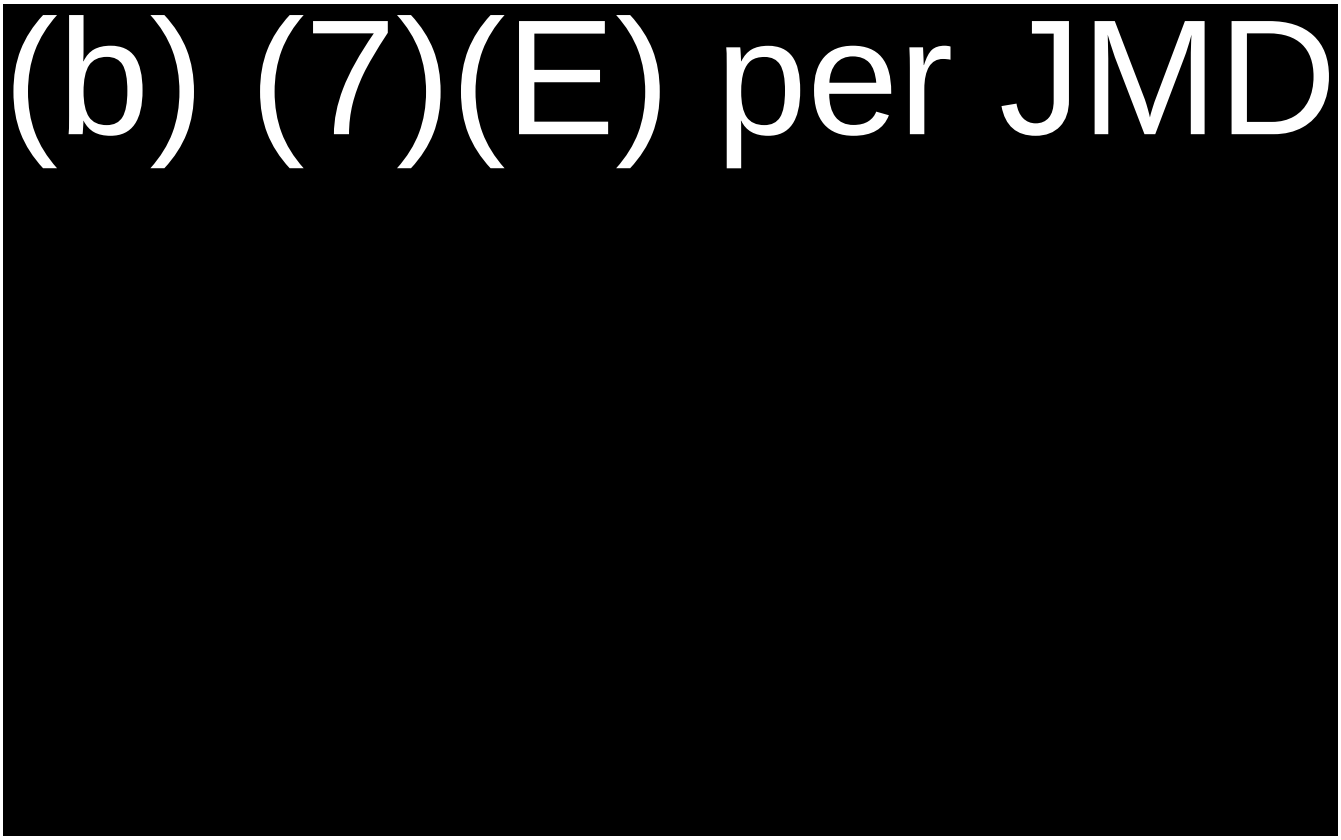


1. According to two parameters, "[redacted]" and "[redacted]" provided by the customer, the report pulls out the data with criteria "[redacted]" from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

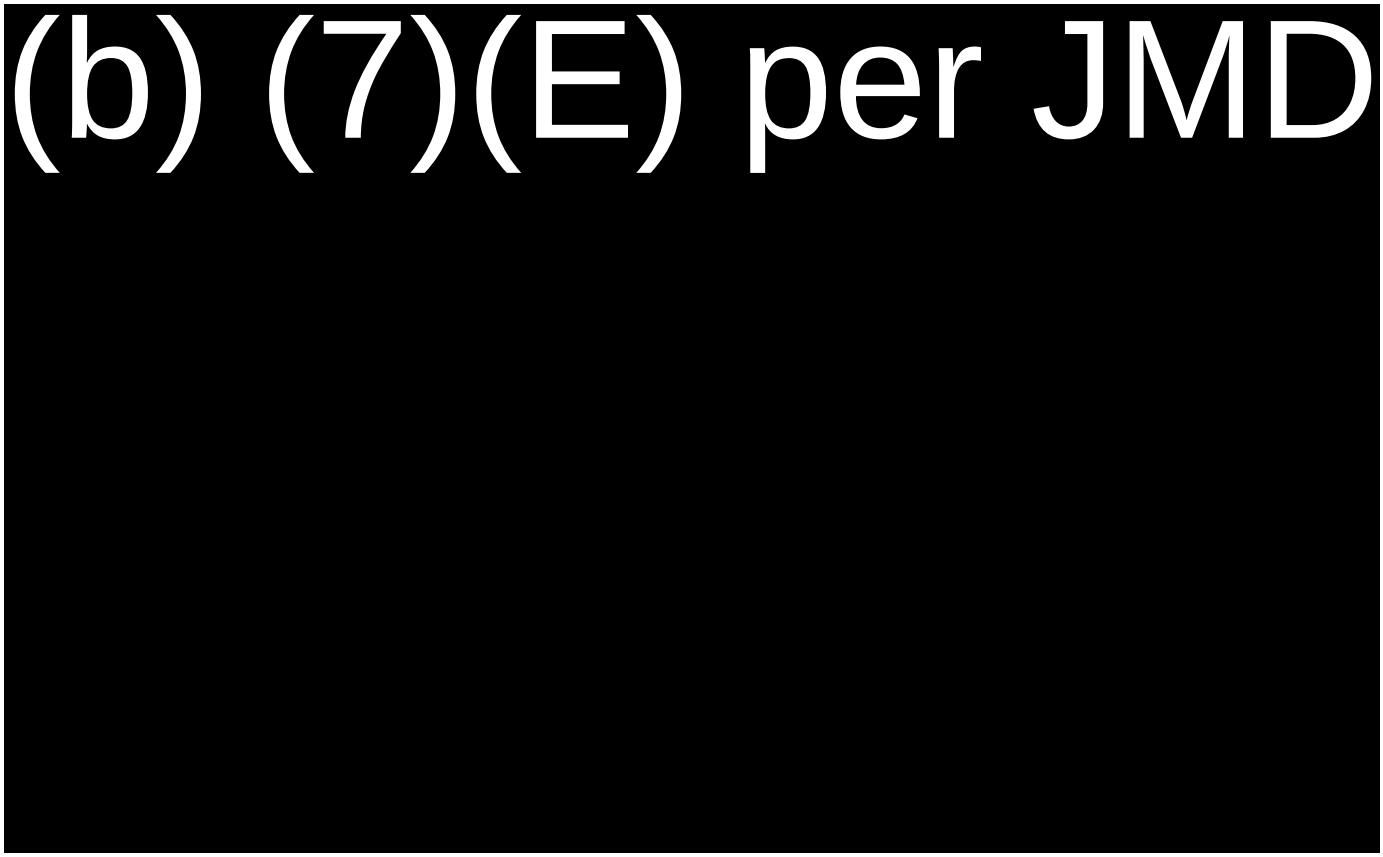
- Number Granted – 1.
- Number Denied – 2.
- Median Number of Days to Adjudicate – 3.
- Average Number of Days to Adjudicate – 4.

2.21 FOIA Administration – FOIA Personnel Report



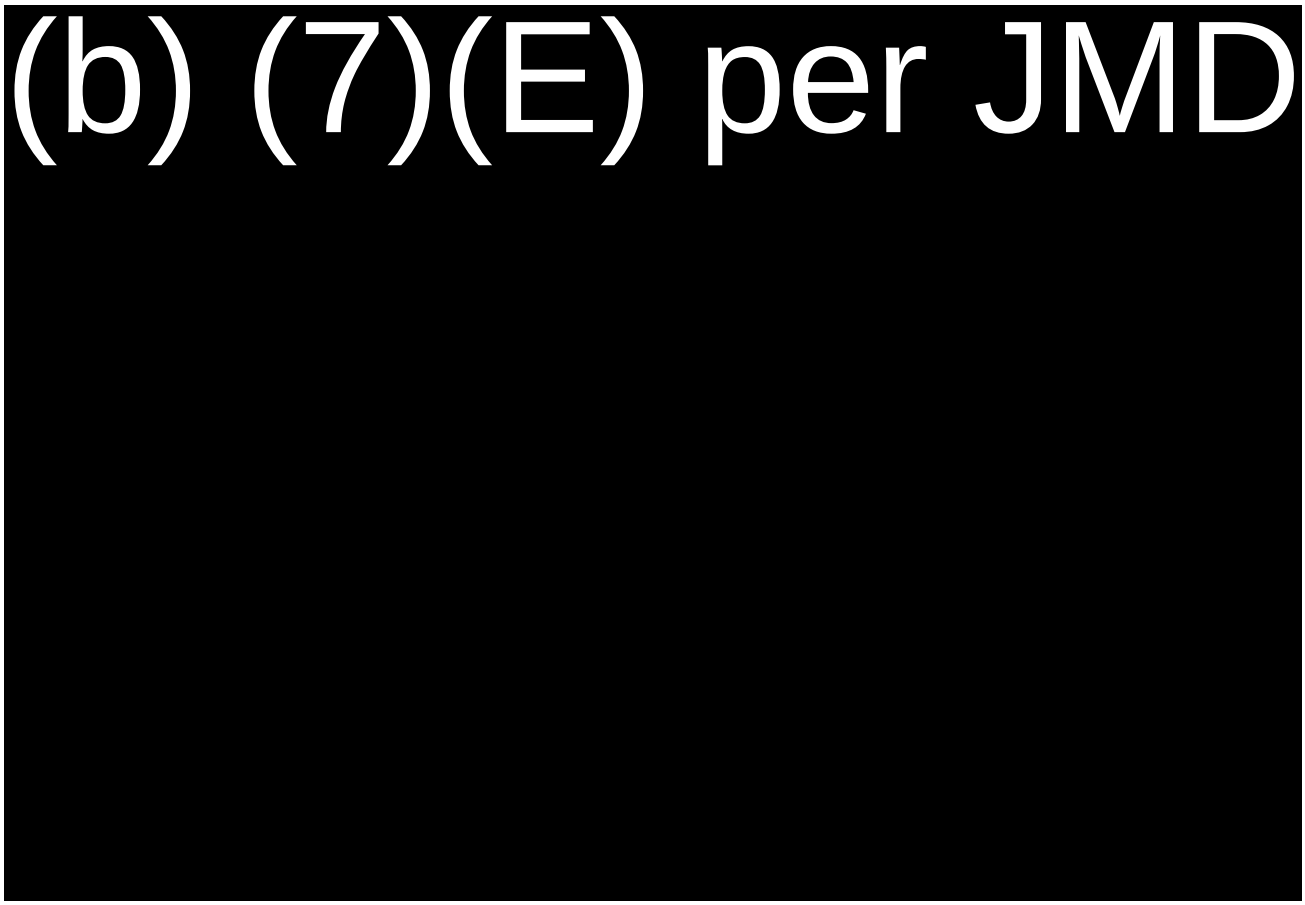
1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.22 FOIA Administrator – FOIA Costs Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2.23 FOIA Backlog Report

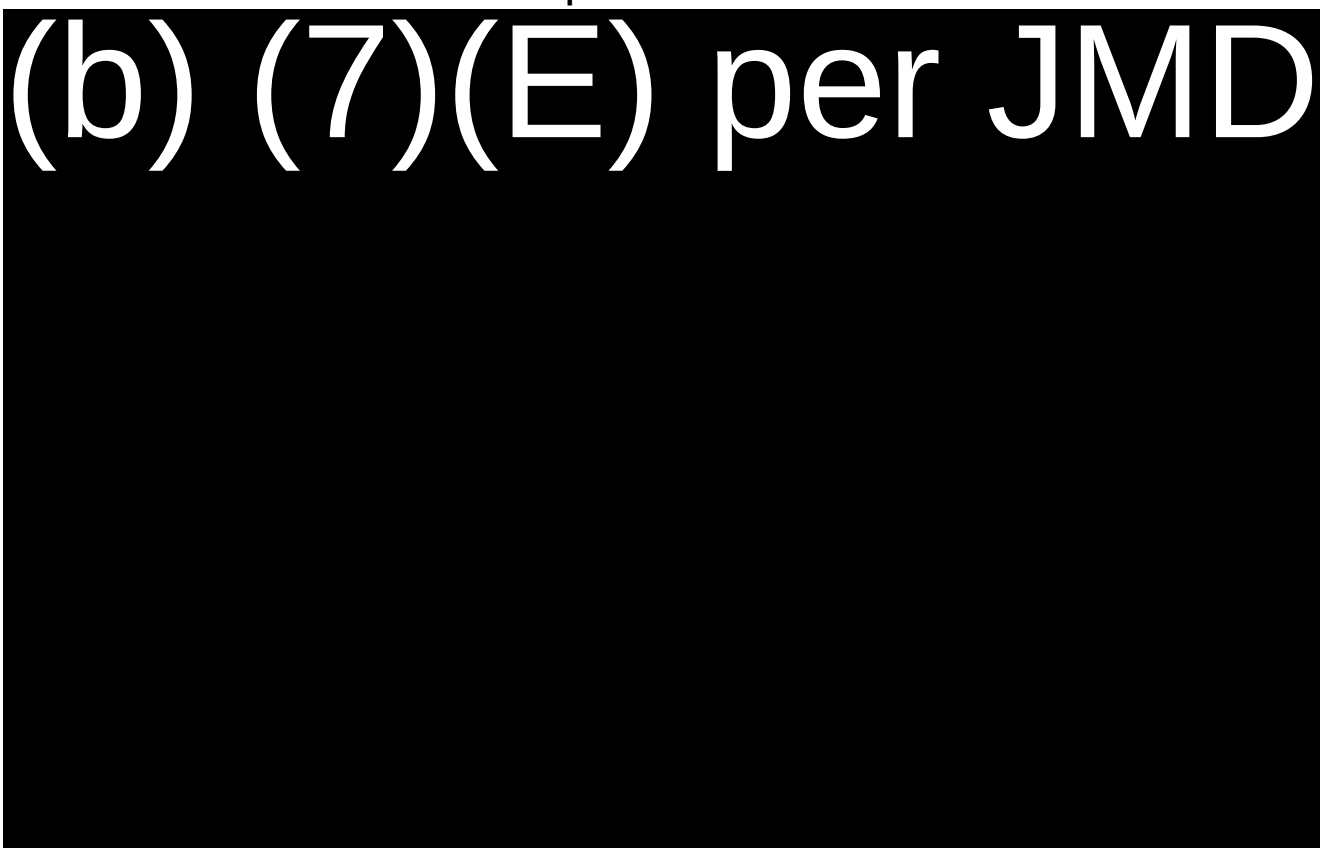


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JM is mapping to field "(b) (7)(E) per JMD as corresponding column's data.

   - Number of Backlogged Requests as of the End of Fiscal Year – 1.
   - Number of Backlogged Appeals as of End of Fiscal Year – 2.

2.24 FOIA Consultations Report

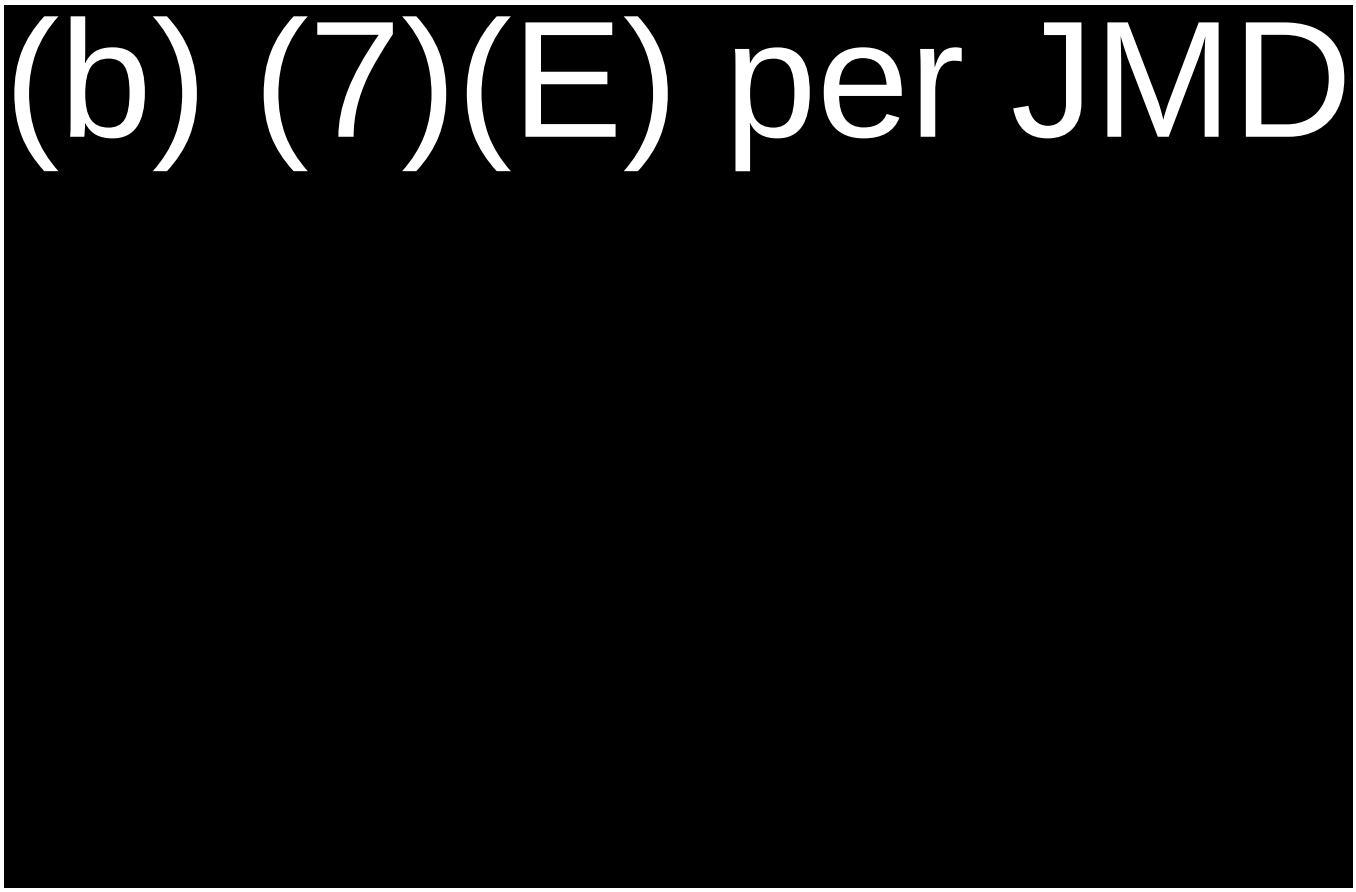


1. According to two parameters, "(b) (7)(E) per JMD and "Year" provided by the customer, the report pulls out the data from tables to construct the report.

2. Here are the mapping from Db fields to Report's columns,

   - (b) (7)(E) per JMD – Number of consultations Received from Other Agencies that Were Pending at Your Agency as of Start of the Fiscal Year.
   - (b) (7)(E) per JMD – Number of consultations Received from Other Agencies During the Fiscal Year.
   - (b) (7)(E) per JMD – Number of consultations Received from Other Agencies that Were Processed by Your Agency During the Fiscal Year.
   - (b) (7)(E) per JMD – Number of consultations Received from Other Agencies that Were Pending at Your Agency as of End of the Fiscal Year.

2.25 FOIA Consultation – Ten Oldest Report

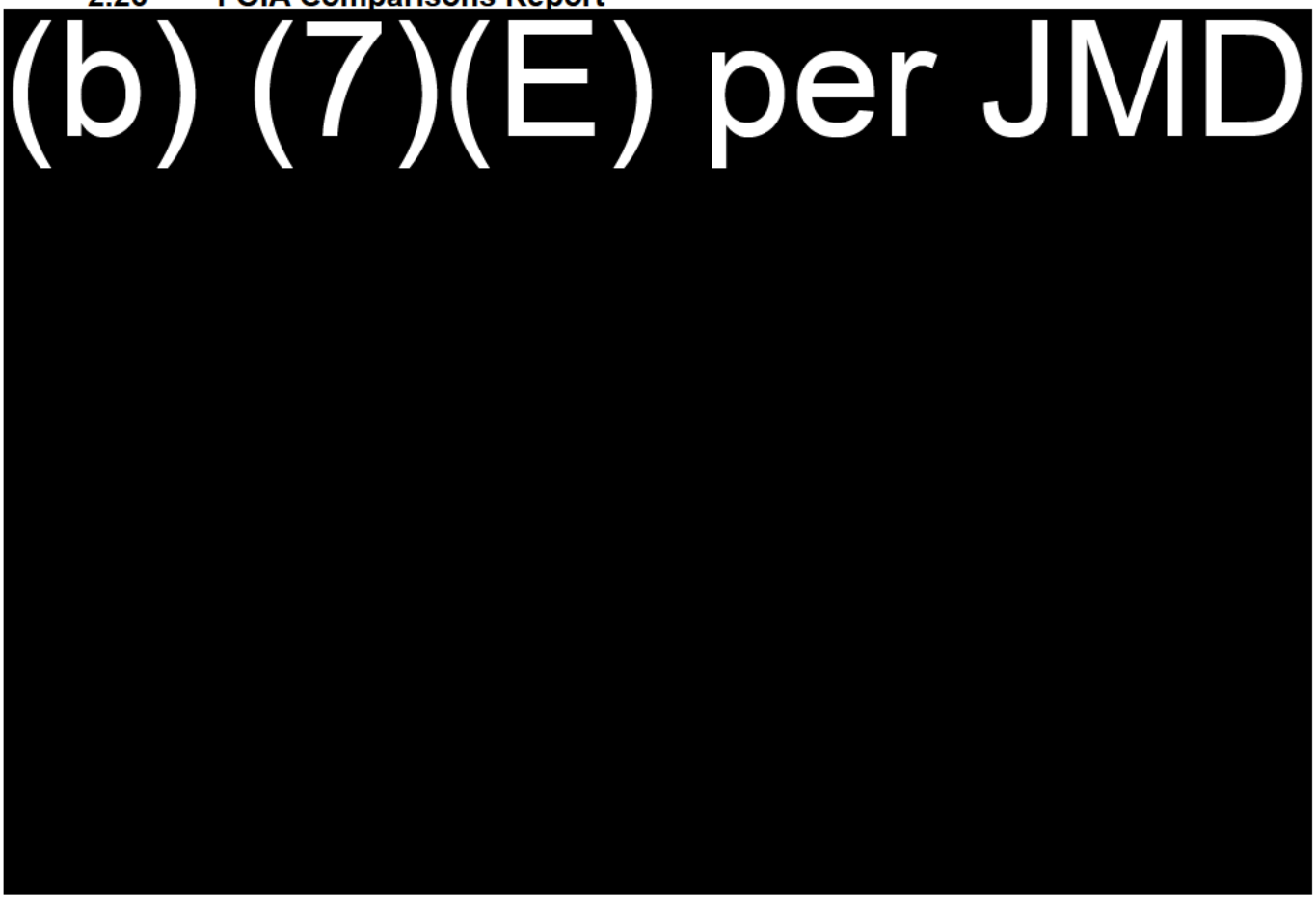


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per JMD and "(b) (7)(E) per JMD as corresponding column's data for two different rows.

   - Oldest Appeal – 1.
   - 2nd – 2.
   - 3rd - 3.
   - 4th – 4.
   - 5^{th} – 5.
   - 6^{th} – 6.
   - 7^{th} – 7.
   - 8^{th} – 8.
   - 8^{th} – 9.
   - 10^{th} – 10.

2.26 FOIA Comparisons Report

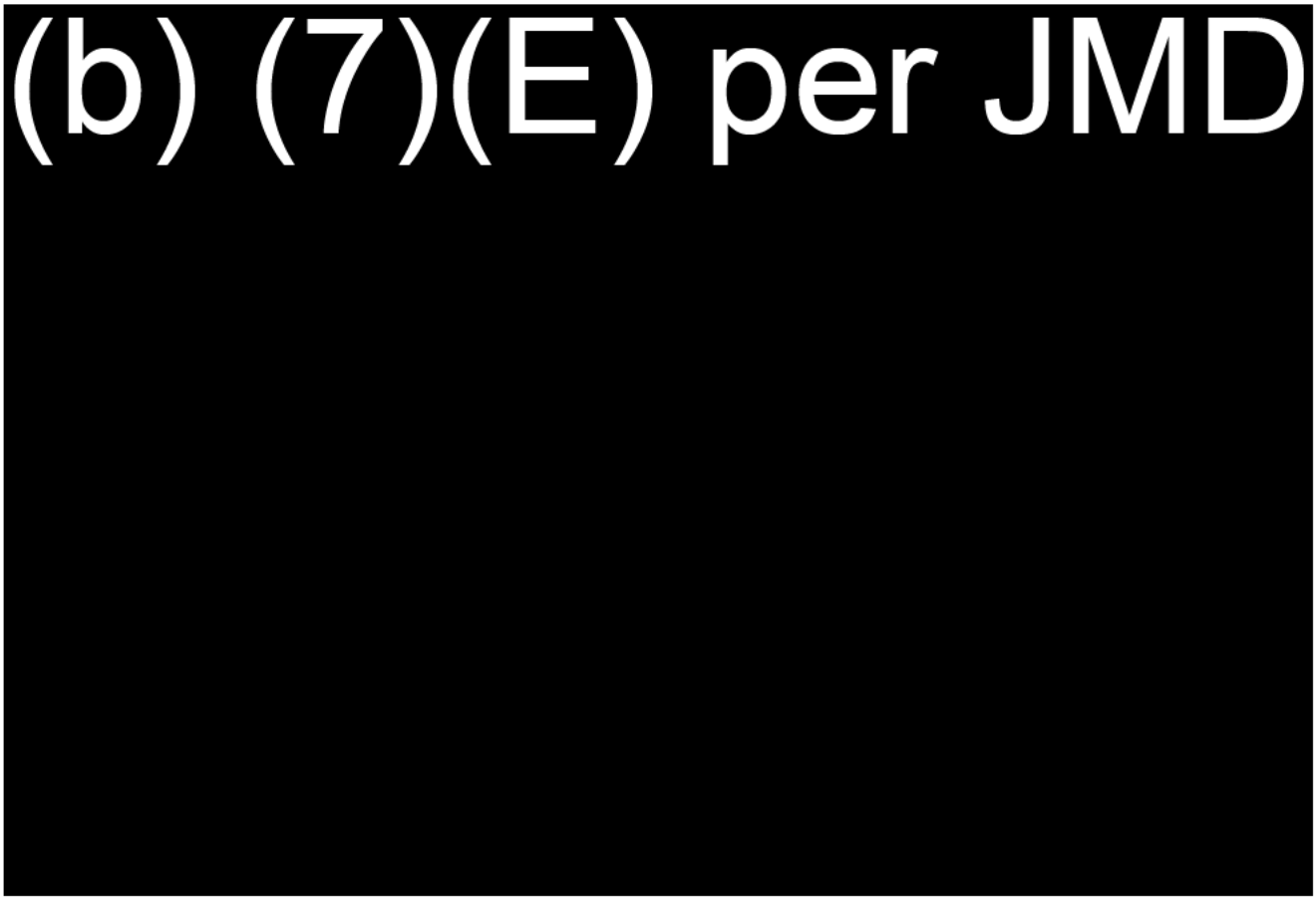


1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data with criteria "(b) (7)(E) per JMD" from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per as corresponding column's data.

   - Number of Received During Fiscal Year From Last Year's Annual Report – 1.
   - Number of Received During Fiscal Year From Current Annual Report – 2.
   - Number of Processed During Fiscal Year From Last Year's Annual Report – 3.
   - Number of Processed During Fiscal Year From Current Annual Report – 4.

2.27 FOIA Comparisons – Requests Backlogged Report



1. According to two parameters, "(b) (7)(E) per JMD and "(b) (7)(E) per JM provided by the customer, the report pulls out the data with criteria "(b) (7)(E) per JMD" from tables to construct the report.

2. With pivot function for the field "(b) (7)(E) per JMD each "(b) (7)(E) per JMD is mapping to field "(b) (7)(E) per as corresponding column's data.

   - Number of Backlogged Requests as of End of Fiscal Year from Previous Annual Report – 1.
   - Number of Backlogged Requests as of End of Fiscal Year from Current Annual Report – 2.

2.28 FOIA Comparisons – Administrative Appeals Report

1. Please refereeing to section 2.26 diagram, the only difference to construct this report is the query criteria set "(b) (7)(E) per JMD".

2.29 FOIA Comparisons – Appeals Backlogged

1. Please refereeing to section 2.27 diagram, the only difference to construct this report is the query criteria set "[redacted]".

3. Procedure (Steps)

3.1 Preparation for Updating FOIA Contacts

1. Install (b) (7)(E) per JMD locally, if not already installed.

2. Make sure (b) (7)(E) per JMD is installed locally.

3. Setup an (b) (7)(E) per JMD connection through Control Panel->System and Security->Administrative Tools->Data Sources ((b) (7)(E) per JMD

   a. Under "(b) (7)(E) per JMD", if you don't already have a "(b) (7)(E) per JMD" data source, click "Add…".

   b. Select (b) (7)(E) per JMD… Driver", then click "Finish".

   c. Enter the following:
   Data Source Name: (b) (7)(E) per JMD
   Description: Used for updating FOIA contacts (or something similar)
   TCP/IP Server: (b) (5), (b) (7)
   Port: (b)
   User: (b) (5), (b) (7)
   Password: (b)
   Database: (b) (7)(E) p
   Then click "OK", and "OK" again.

4. Setup (b) (7)(E) per JMD

   a. In the (b) (7)(E) per JMD section, click "(b) (7)(E) per JMD" and fill out the fields using the data above.

   b. In the Server Administration section, click "(b) (7)(E) per JMD".
   Select "Take Parameters…", select the instance created above and click Next. Select "Do not use remote management" and click "Finish".

3.2 Update FOIA Contacts

1. Update the FOIA Contacts spreadsheet provided by OIP.

   a. Create a new sheet in the FOIA Contacts spreadsheet.

   b. Copy all contents from "(b) (7)(E) per JMD", including the header row, and paste it in the new sheet.

   c. Copy all rows from "(b) (7)(E) per JMD" (excluding the header row), and append to the new sheet as well.

   d. Now, delete the original two sheets.

2. Import the FOIA Contacts spreadsheet.

   a. Open the [redacted] from [redacted]. If there is a macro security warning, open it and click "[redacted].".

   b. If there's an existing "[redacted]" table, rename it to something like "[redacted]".

   c. In the External Data tab, above Import, select "Excel". Browse to the FOIA Contacts spreadsheet and open it. Select "Import the source data…".

   d. Check the "First Row…" checkbox, click "Next" a couple times" and "Let Access add primary key."

   e. Click "Next" again, and change the table name to "[redacted]". Finally, click "Finish".

3. Update Missing data

   a. Open the query "[redacted]". Check for records that don't have a ShortName value. Go back into the [redacted] table and update the Department value for those records, based on the correct value in [redacted] Run [redacted] again to make sure all records have a ShortName value. Note: Records where "[redacted]" is equal to "[redacted]" do not need a ShortName.

[redacted]

5. Export [redacted] database.

   a. In [redacted] with the "[redacted]" query open, go to External Data->Export->[redacted].

   b. Type in [redacted], then click OK.

   c. Select "[redacted]ource" and select "[redacted]". Then click "OK".

d. Refresh the [redacted] table by right-clicking on it and selecting "Linked Table Manager". Check filingfoia1 and click "OK".

6. Open query "[redacted]", then fill in all blank "[redacted]" field values with "[redacted];".

7. Open query "[redacted]", then fill in all blank [redacted]" field values with "[redacted];".

8. Export updated [redacted] table.

   a. Back in [redacted], go to the Home tab, and double click on the server instance (under Server Administration) you created in [redacted].

   b. Click "[redacted]", select the "[redacted] database, and uncheck everything except for the [redacted]" table.

   c. Select "Export to Selft-Contained File" and make a note of the file path. Click "Start Export".

   d.

9. Import FOIA Contacts into Development Database

   a. Open the SQL file created in the previous step. Delete everything up till the "[redacted]…" statement. Then, delete the [redacted]…" line, the "[redacted];" line, and all lines that start with /*!. Save the file.

   b. Go to [redacted] and log into the internet development database.

   c. Select the [redacted] database, then select the [redacted] table. Click on the "Operations" tab.

   d. Copy the table to something like "[redacted]"

   e. Click on the main "[redacted]" database, then click the "Import" tab. Browse to the file you just created, then click "Go".

   f. Verify everything was imported correctly here [redacted]

10. Import FOIA Contacts into Production Database

    a. Once all is confirmed on development, in [redacted], select the internet production database. Select the [redacted]" database, and then the [redacted]" table. Repeat the steps from

development to make a backup of the table and importing the new contacts.

b. Verify everything was imported correctly here (b) (7)(E) per JMD

3.3 Generate/Deploy (b) (7)(E) per JMD war file

1. Fetch the source codes from repository to local system.
2. Launch Integrated Developing Environment (IDE) and import fetched source codes as a new project.
3. Make any appropriate adjustment on project depend on the IDE used.
4. Execute the "generate" or "export" to war file function from IDE to create a new war file.
5. Use zip tool to insert predefined connectivity "context.xml" to "(b) (7)(E) per JMD" folder in war file.
6. Create ISOC ticket to Web Browsing Group with final war file.

3.4 Import Agencies' xml file onto database

1. Open a page, (b) (7)(E) per JMD , from FOIA development application server (b) (7)(E) per JMD
2. A table is presented which includes all years available in database and departments/agencies.
3. Make sure the department/agency button is not enable which means the xml for the year is empty in database.
4. Open upload page (b) (7)(E) per JMD to import specific xml file from local file system.
5. To switch schema version (for instance from 1.03 to 1.02),
   a. Deploy correct version of war file to development application server through (b) (7)(E) per JMD
   b. Rename filename on development application server with location (b) (7)(E) per JMD for file (b) (7)(E) per JMD to be name as (b) (7)(E) per JMD But need to rename original (b) (7)(E) per JMD to responding name like (b) (7)(E) per JMD

c. Repeat the same work on step 2 but the location is [redacted] and file is [redacted]

3.5 Apply Zero-out solution patch

1. The solution is developed to correct data within in FOIA database focus on 3 tables: [redacted]

2. The xml provided by department/agency is empty field for number zero on these 3 tables. For instance, the field is span from 1 to 9 also including 7a,7b,7d,7e. In case of ex1=0, ex2=0, ex3=33,ex4=0…ex7a=77,ex7b=0 … ex8=0, and ex9=0. The output xml as following,

```
<ex3>33</ex3>
<ex7a>77</ex7a>
```

3. The solution needs to insert 0 for field ex1, ex2, ex4, … , ex8, and ex9 for previous example.

4. This patch need to be performed any time the correct/upload agencies complete to maintain the data integrity.

5. Execute the following 3 URL to apply the patching data onto database,

[redacted]

4. Process/Procedure

4.1 Entry Criteria

Describe the actions or events required to allow the procedures outlined in Section 3 to begin for this application/process/procedure.

Details of Entry Criteria

• (b) (7)(E) per JMD
  • Department/agency provided xml file
• (b) (7)(E) per JMD
  • Click on the Button of department/agency and FY

4.2 Activities

Describe the set of activities performed as part of this process procedure.

(b) (7)(E) per JMD	Activities	Action by	Detail of activities and remarks	Ref.
			•	
			•	
			•	

Field	Description
(b) (7)(E) per JMD	Refers to number(s) given to this application/process in (b) (7)(E) per JMD.
Activities	Refers to name or title in box on process/procedure map (similar but not necessarily identical).
Action by	Functions that perform the activity. Refer to Roles.
Details	Describes main activities such as develop, review, and approve.
Ref.	References and/or guidelines needed, if applicable.

4.3 Outputs

Describe the output produced or modified by the activities in this process/procedure.

Output	Detail of Outputs and remarks	Ref.
(b) (7)(E) per JMD	• Table/xml tag name	
(b) (7)(E) per JMD	• The status of the update	Successful Record Exist

Output	Detail of Outputs and remarks	Ref.
(b) (7)(E) per JMD	• A table contains buttons which lined up with FY as horizontal and department/agency as vertical o Click on the button to remove the specific FY and department/agency data from database.	

4.4 Verification and Validation

Describe the validation activities or checklists to determine if the outputs are usable.

Output Validation	None	

Describe the verification activities or checklists to determine if the outputs are within specification.

Process/procedure Verification	Before updating specific table, verify the existing of records based on department/agency and FY.	Successful/fail

Appendix A – Dictionary of Terms or Acronyms

An alpha list of words and information about them

IDE	Integrated Development Environment, which is an editing tool for text files and integrates with the functions to produce or pack files.
(b) (7)(E) per JMD	an execution environment/pool keeps the resources status to serve java classes.
(b) (7)(E) per JMD	product to provide a source/version comparing the difference between two source files.
(b) (7)(E) per JMD	
SFTP	Secure File Transfer Protocol is built on SSH.
SSH	Secure Shell is a secure connection between two systems with encryption established.

Appendix B – FOIA Database Schemas

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-- Table structure for table `agencies`
--

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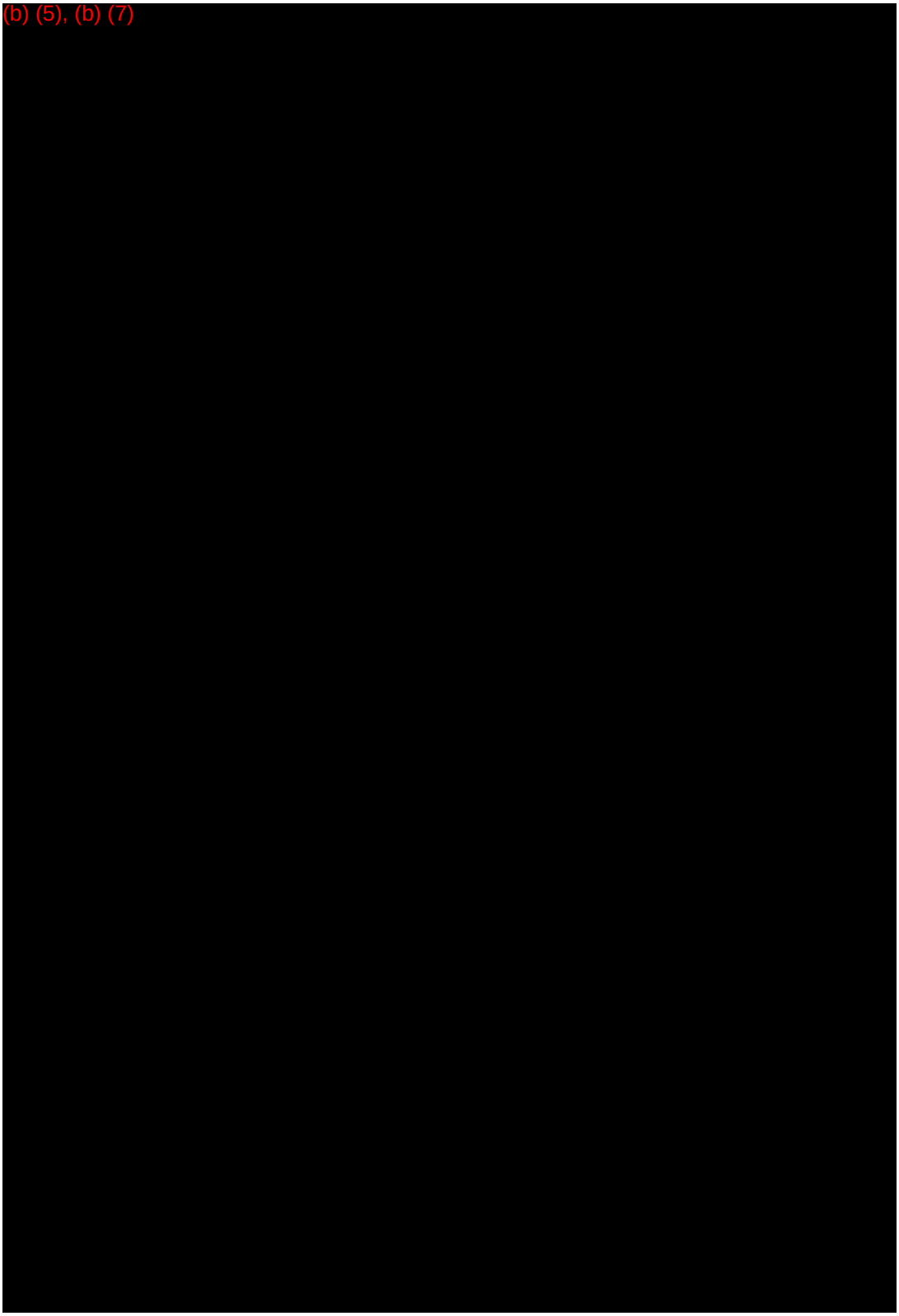

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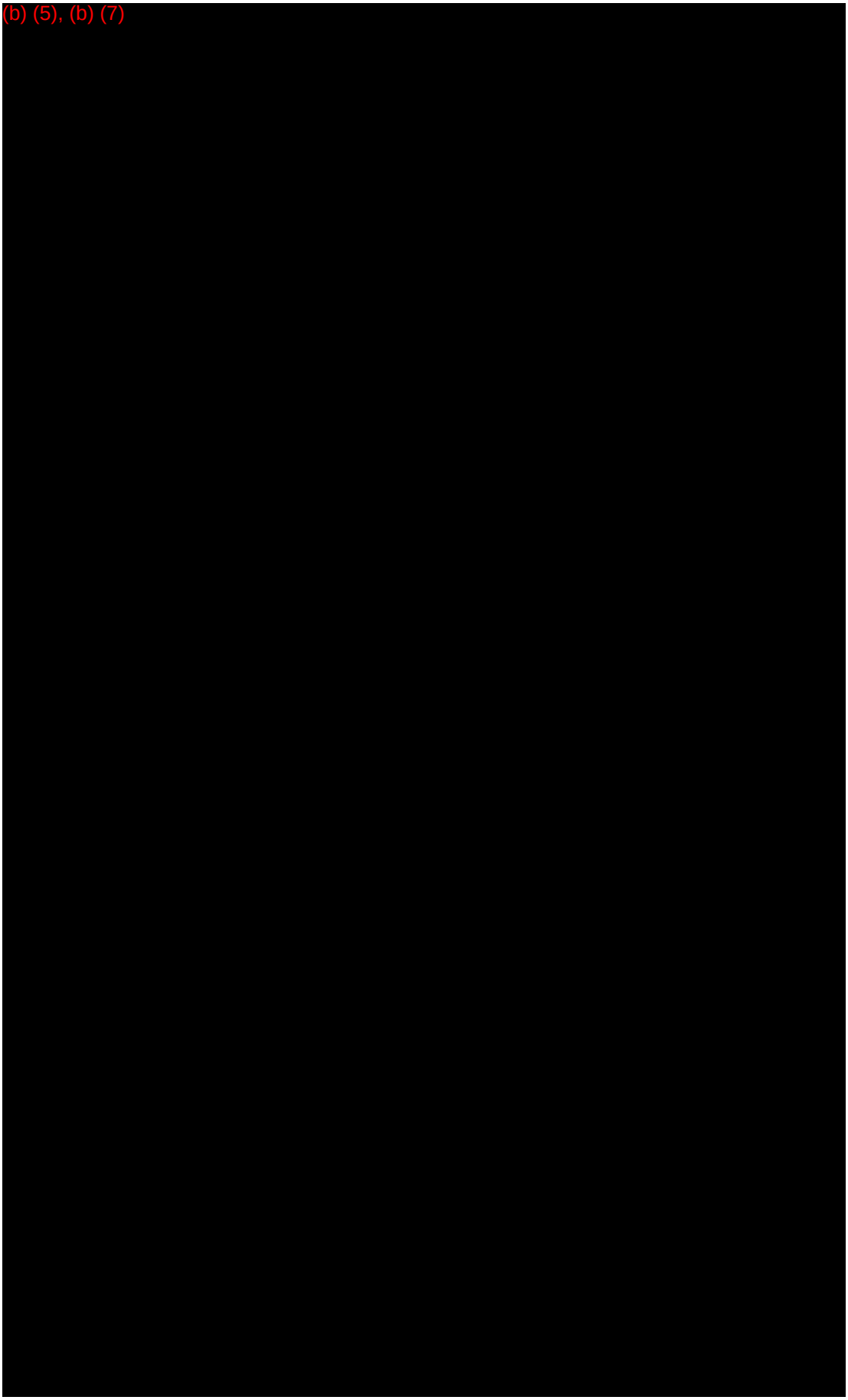

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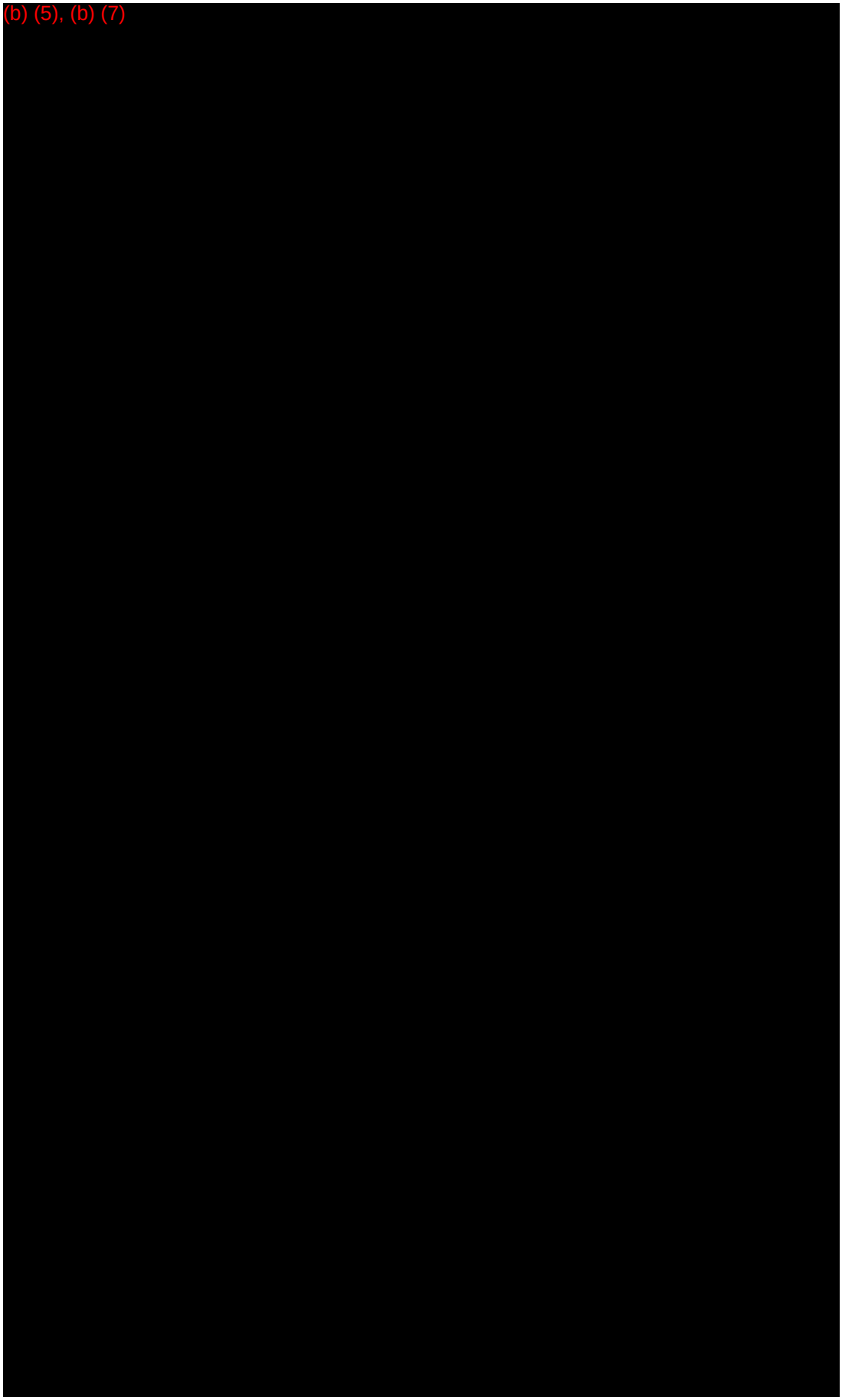

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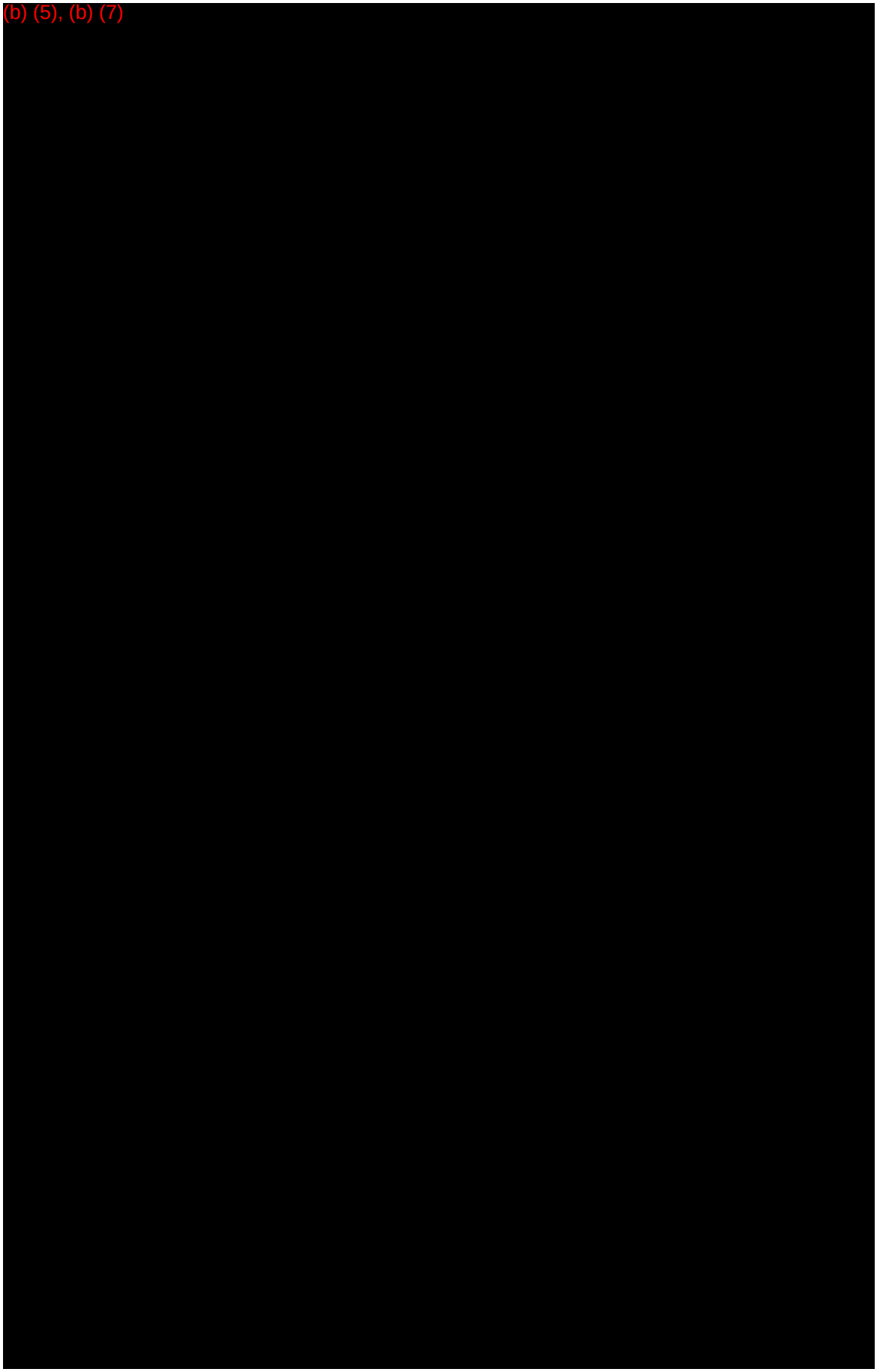

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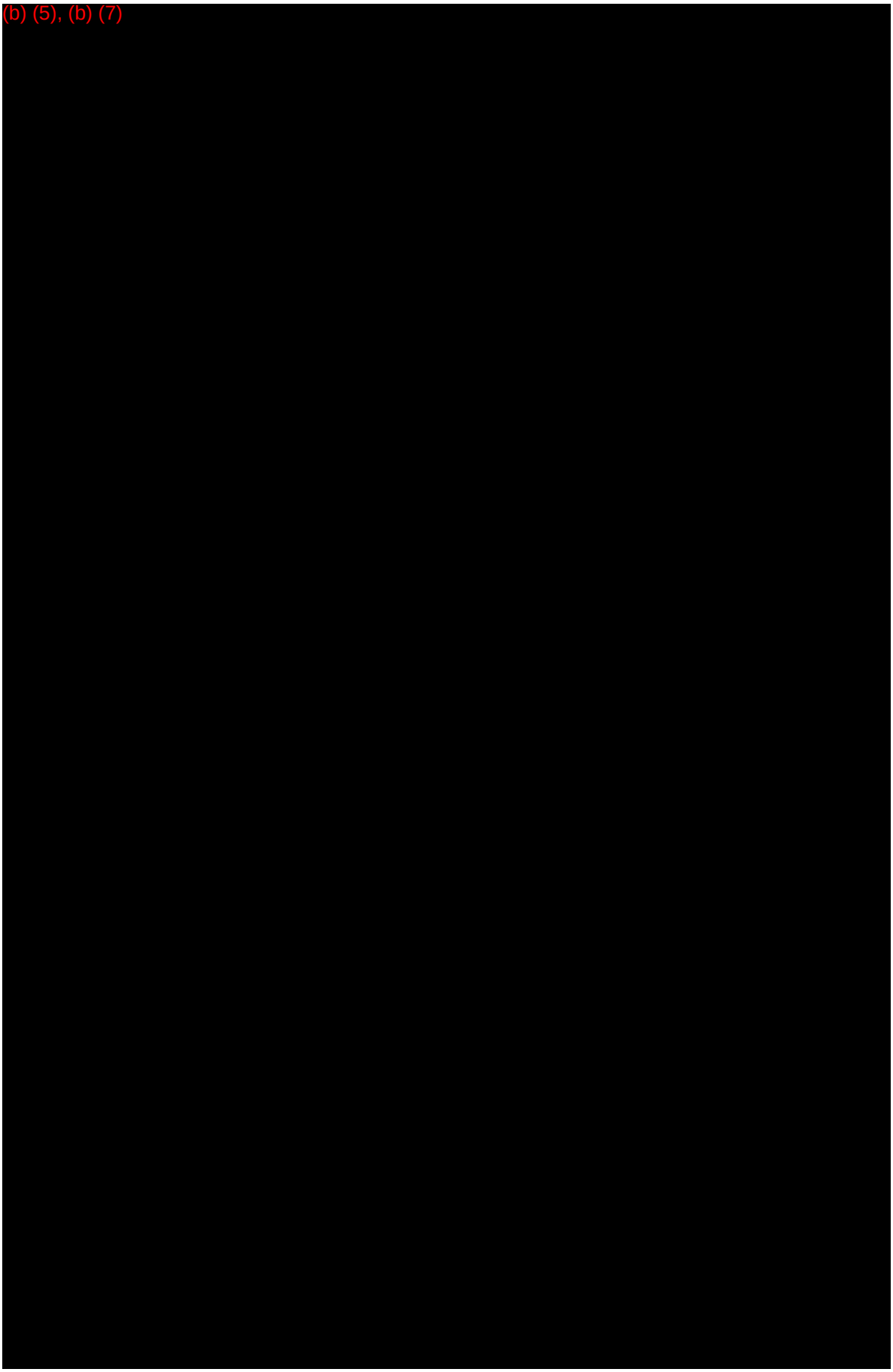

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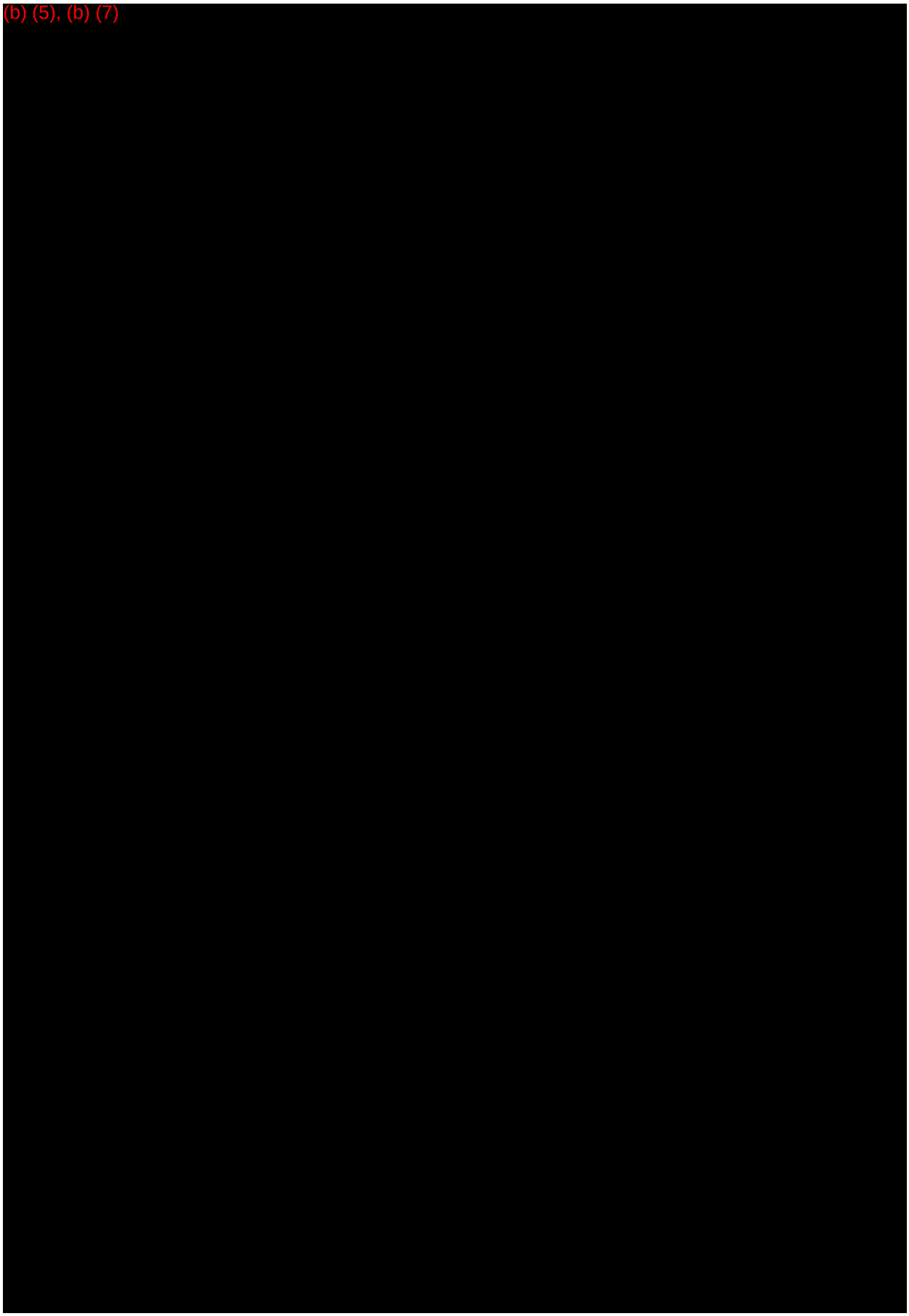

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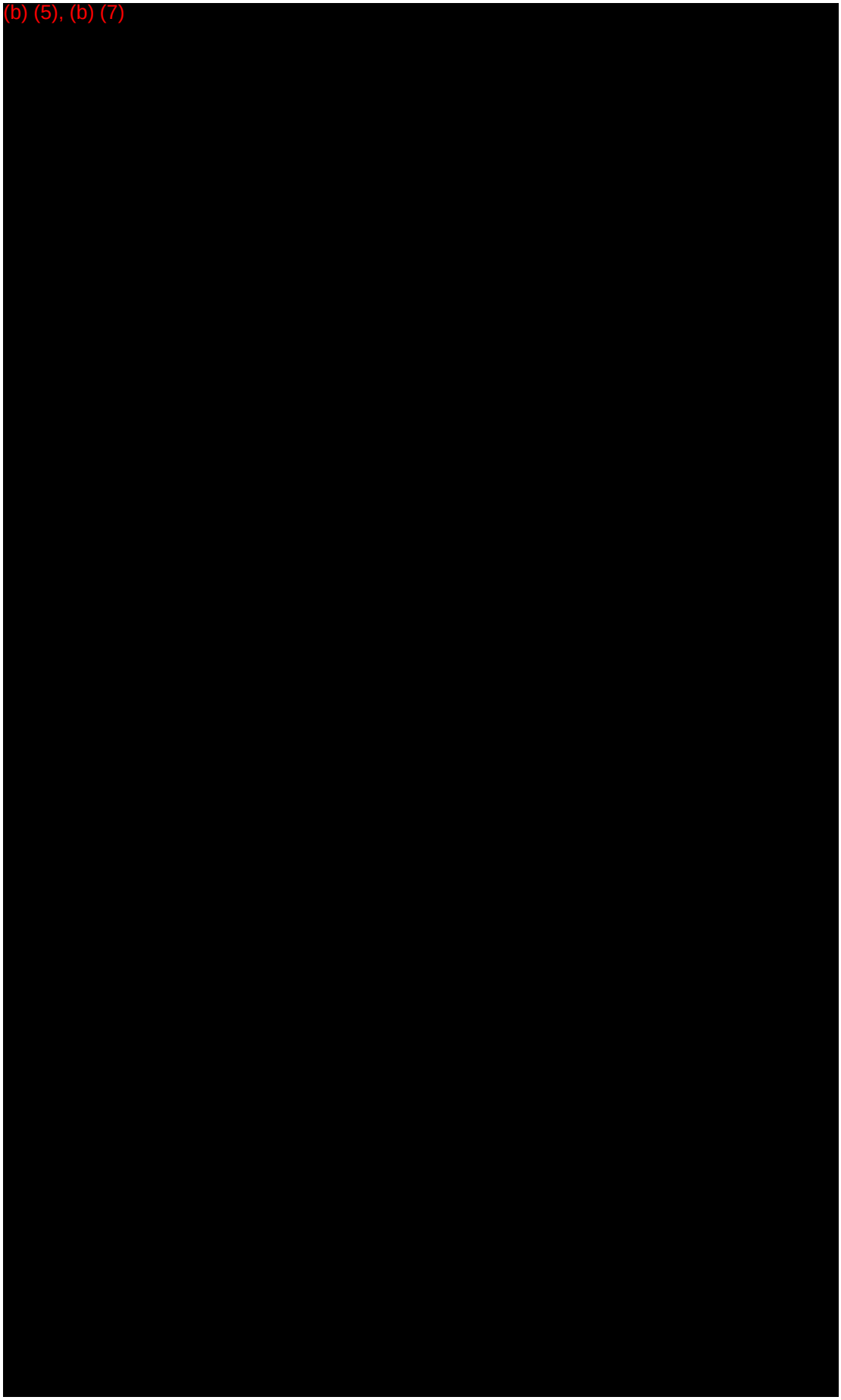

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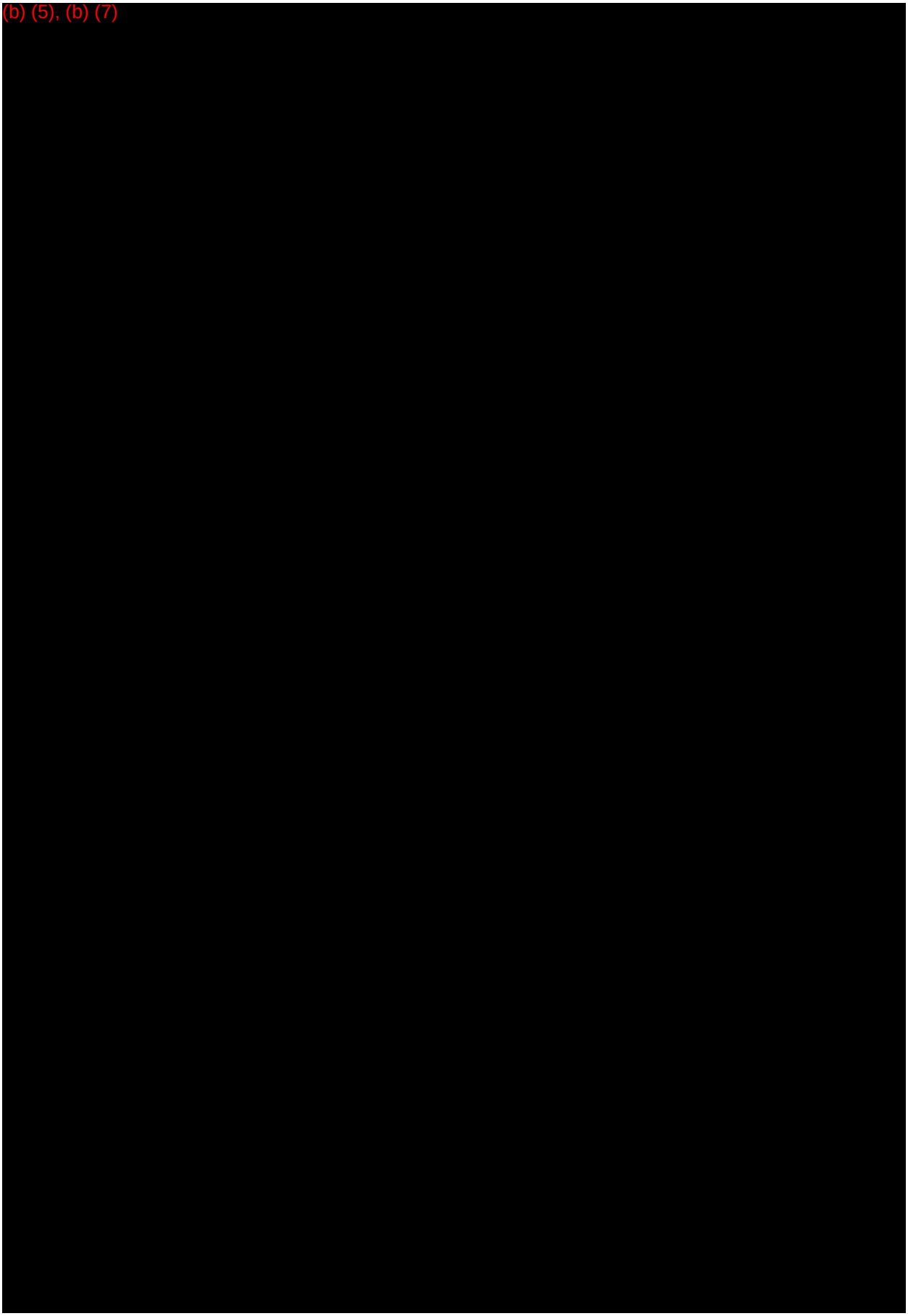

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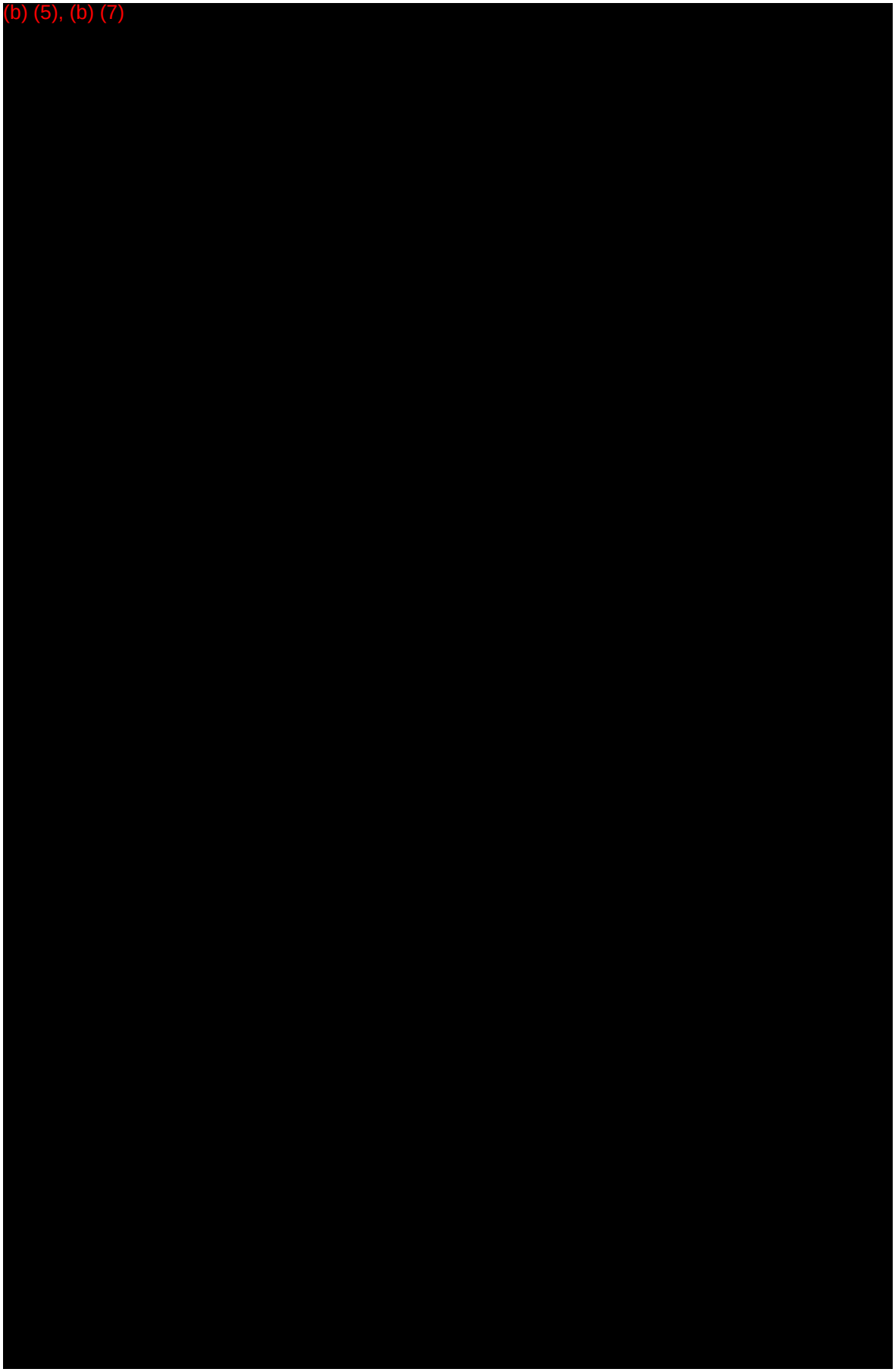

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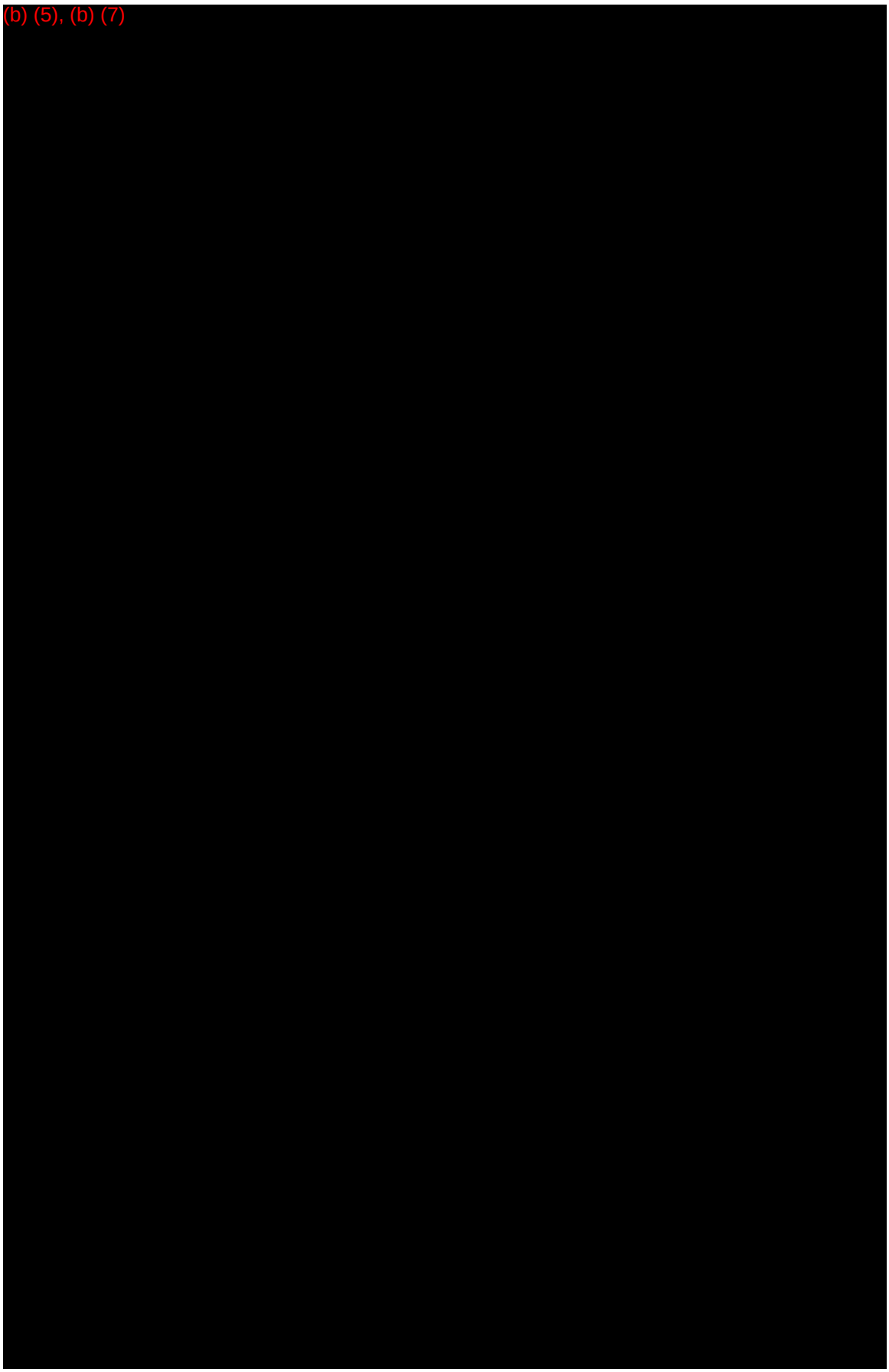

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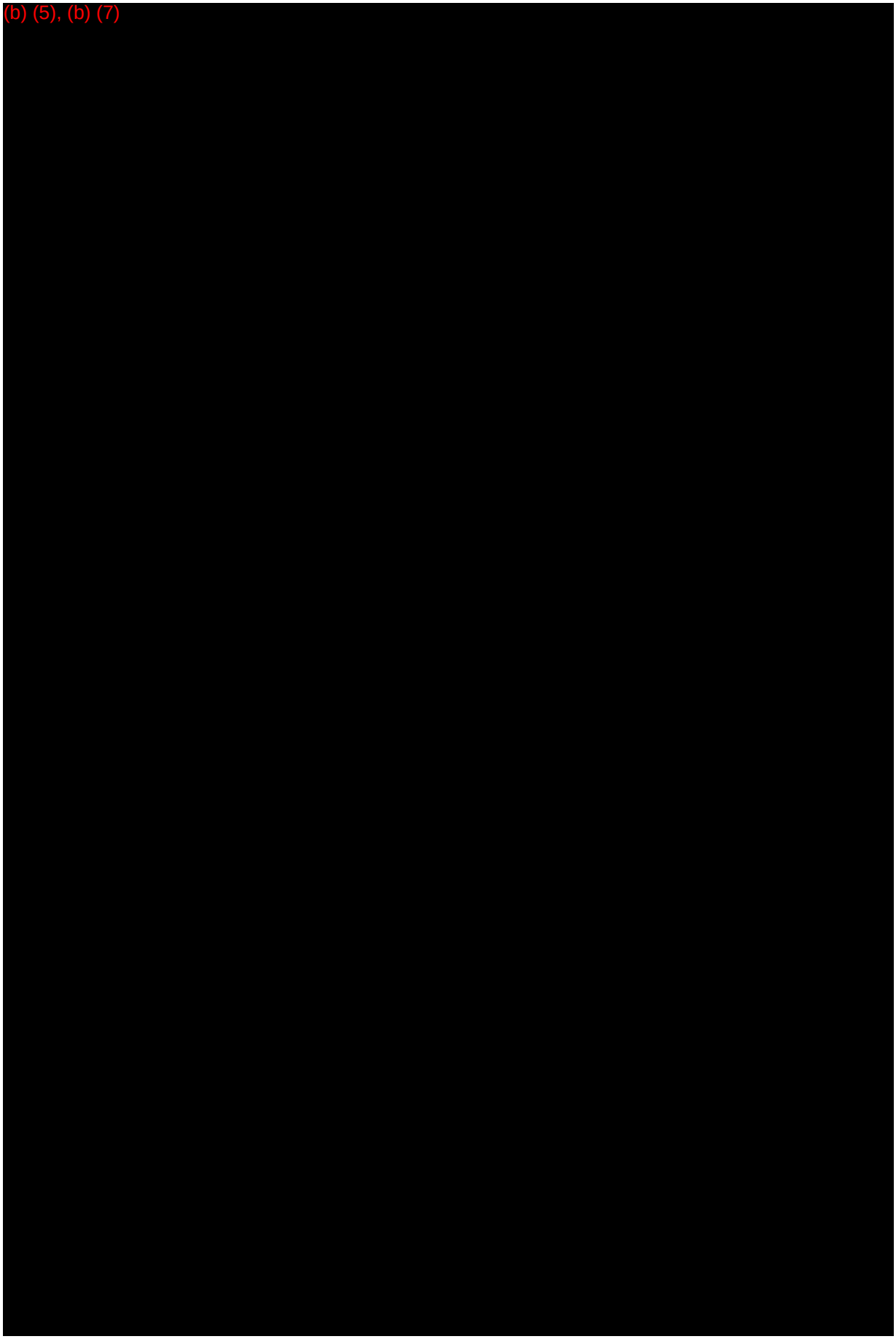

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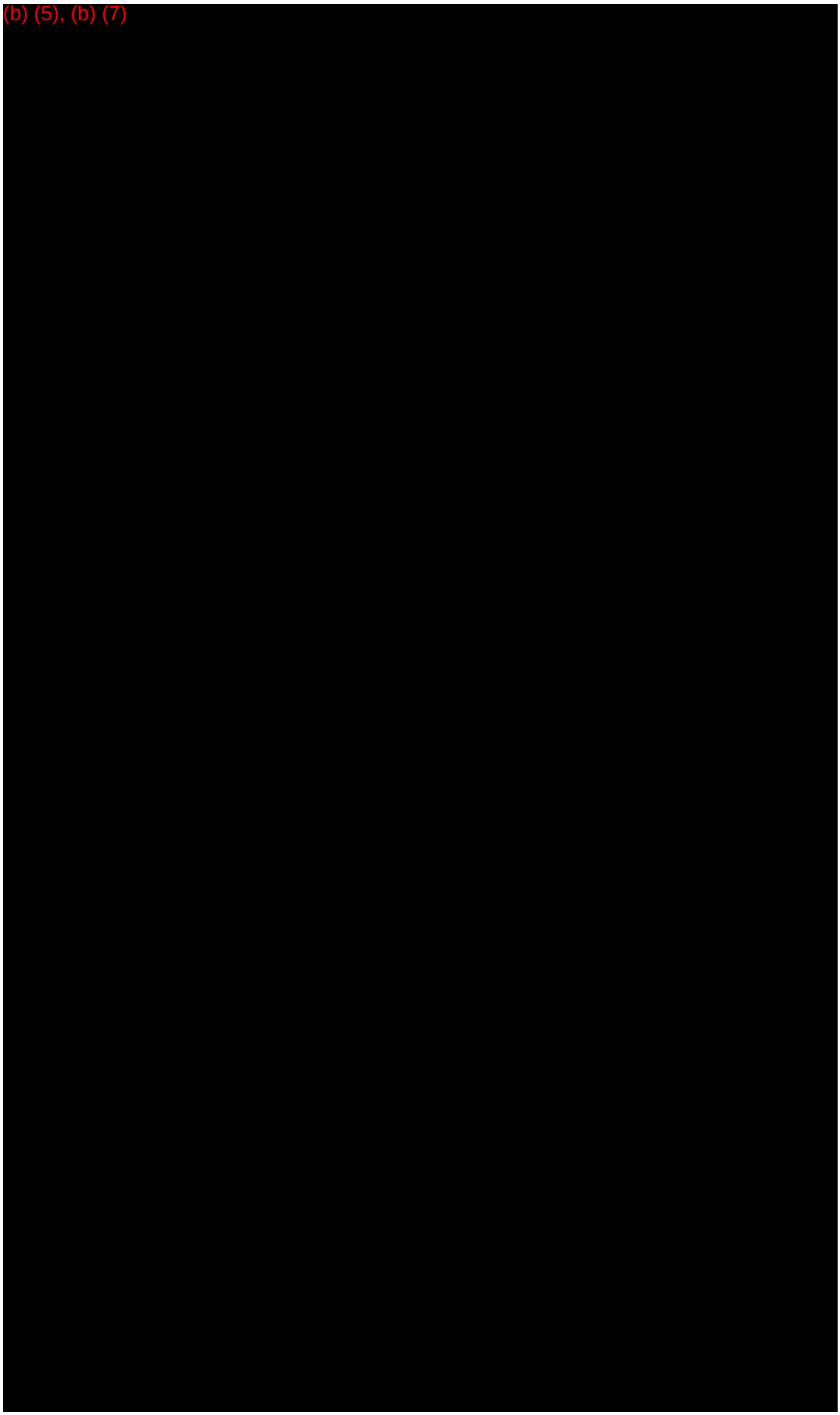

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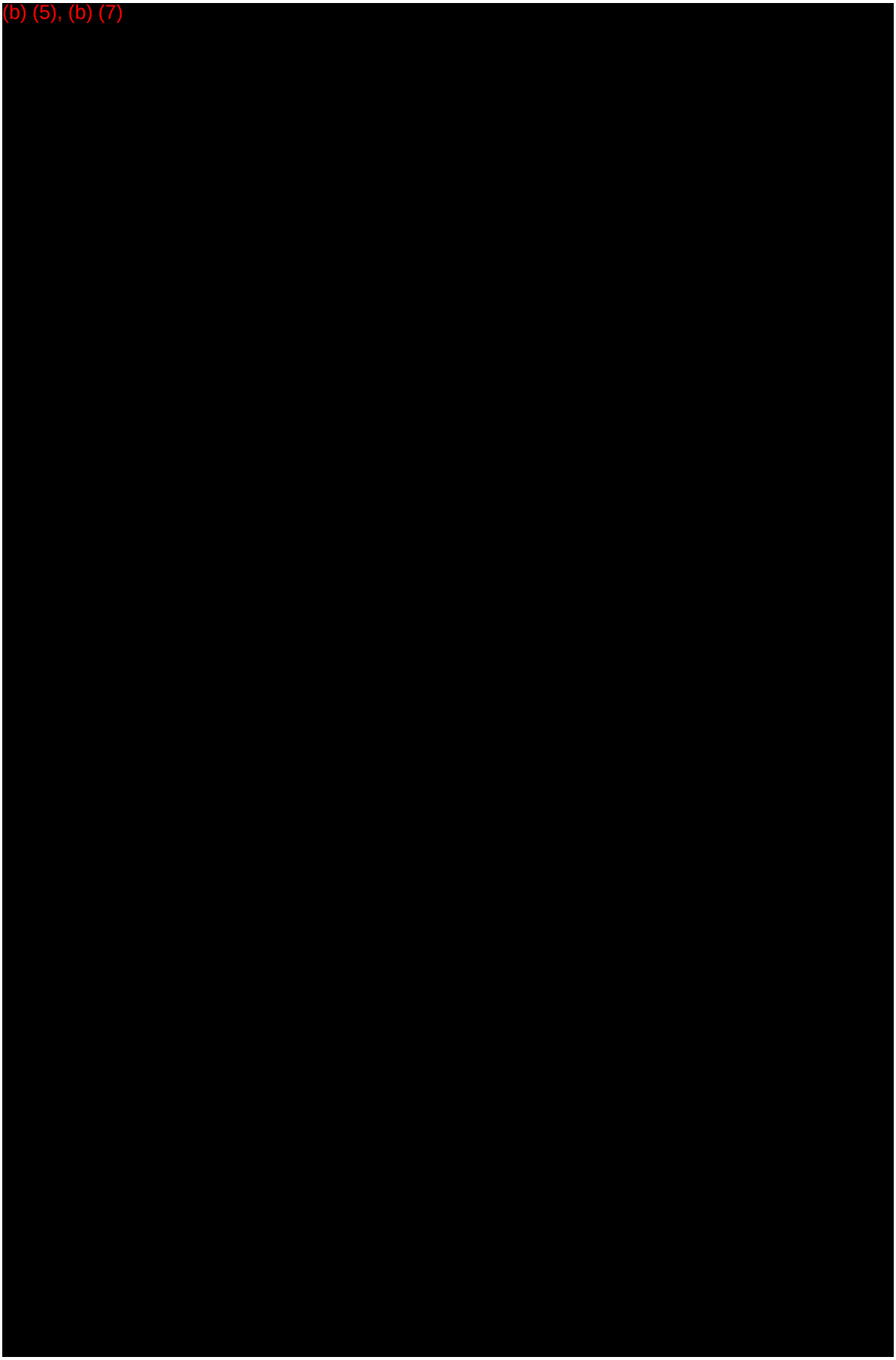

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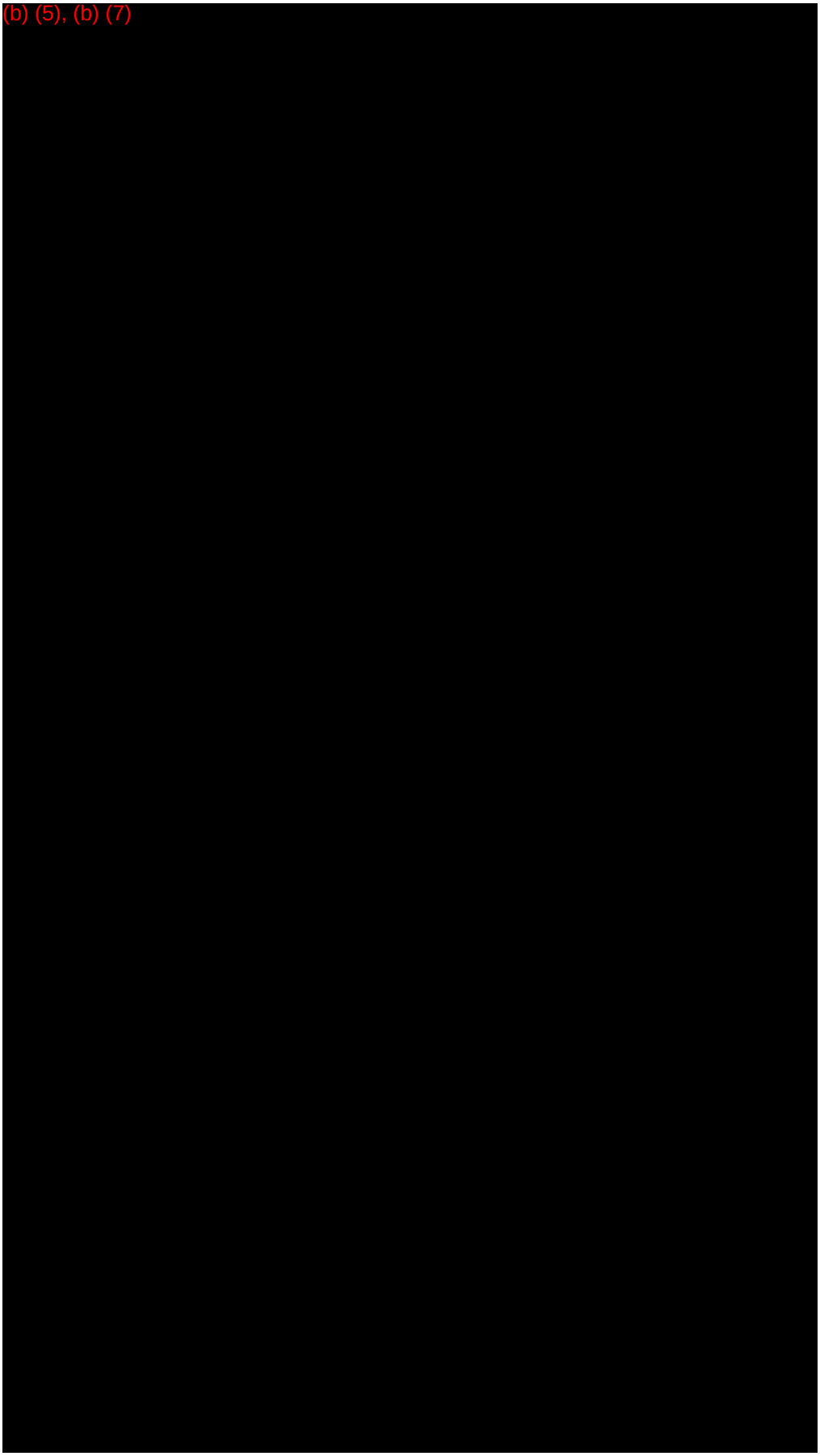
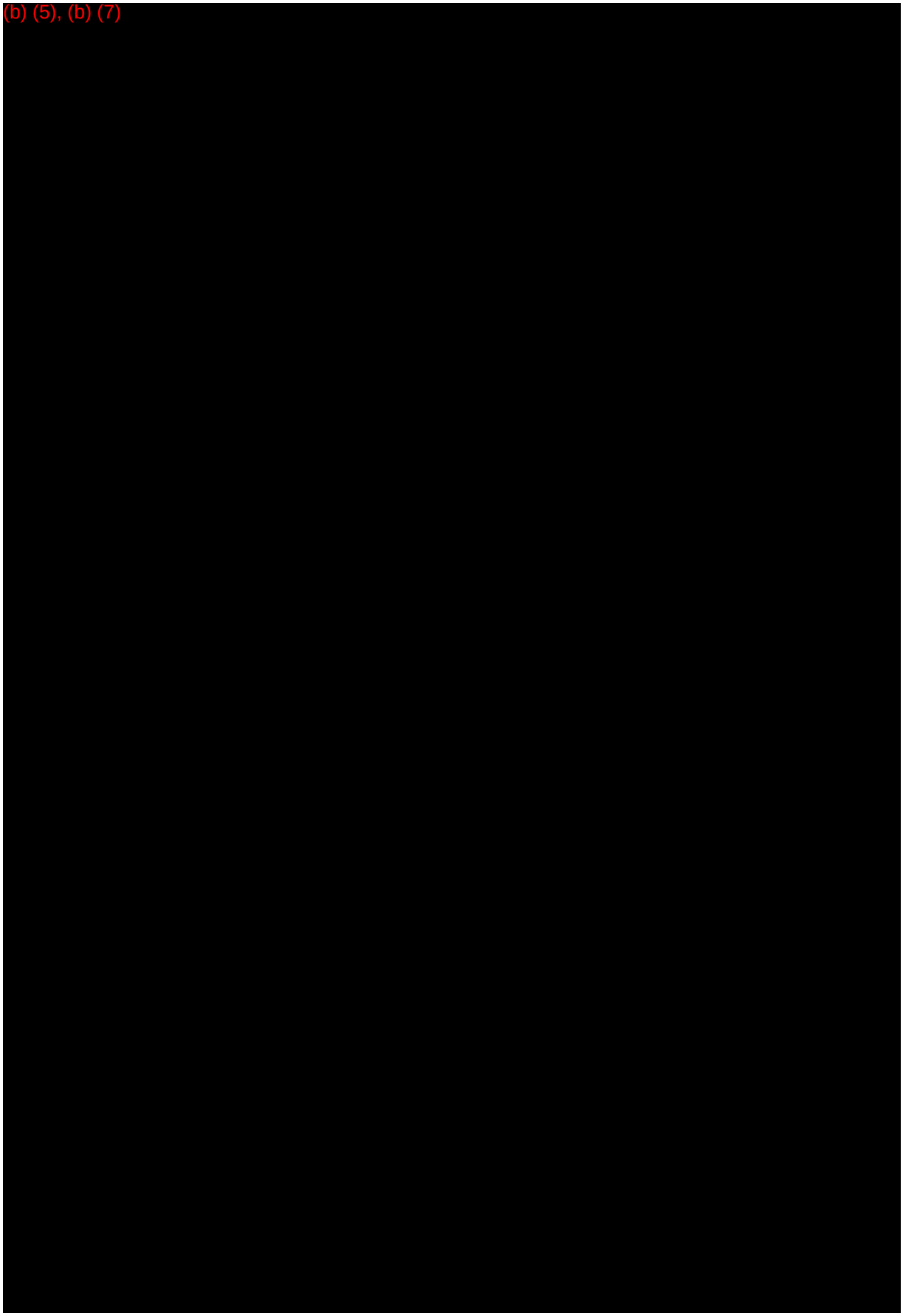
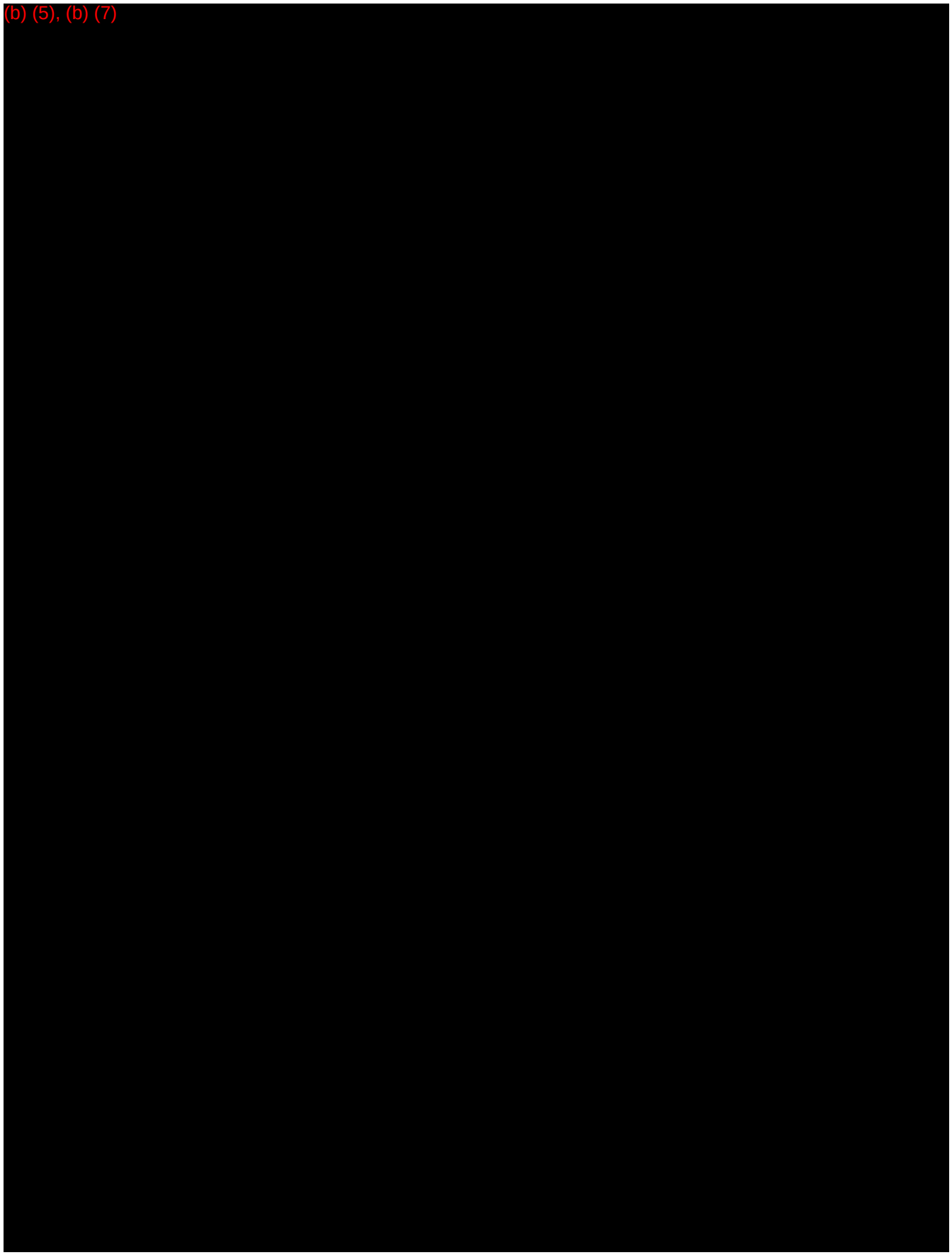


(b) (5), (b) (7)

(b) (5), (b) (7)



(b) (5), (b) (7)



(b) (5), (b) (7)

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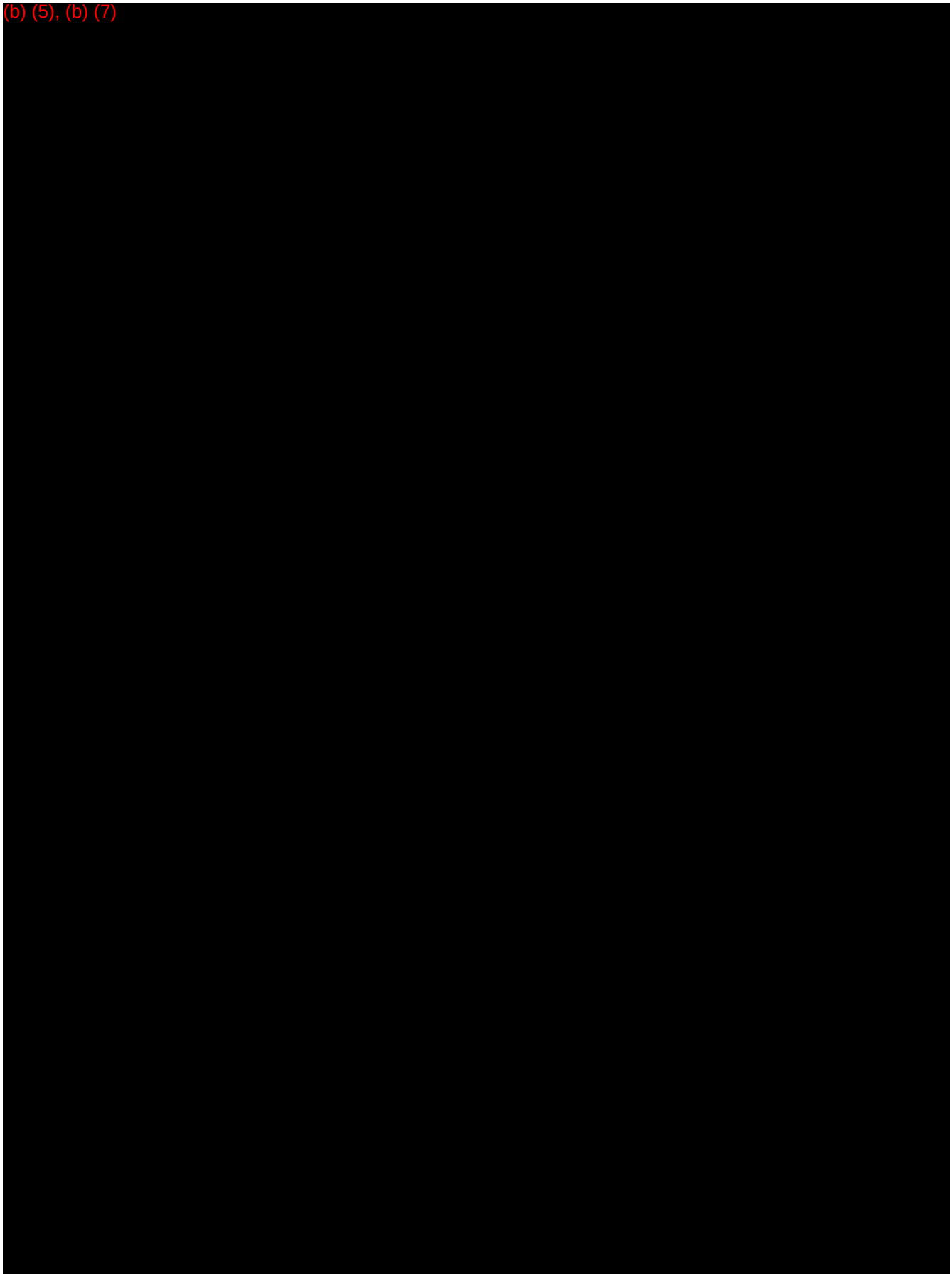
[redacted]

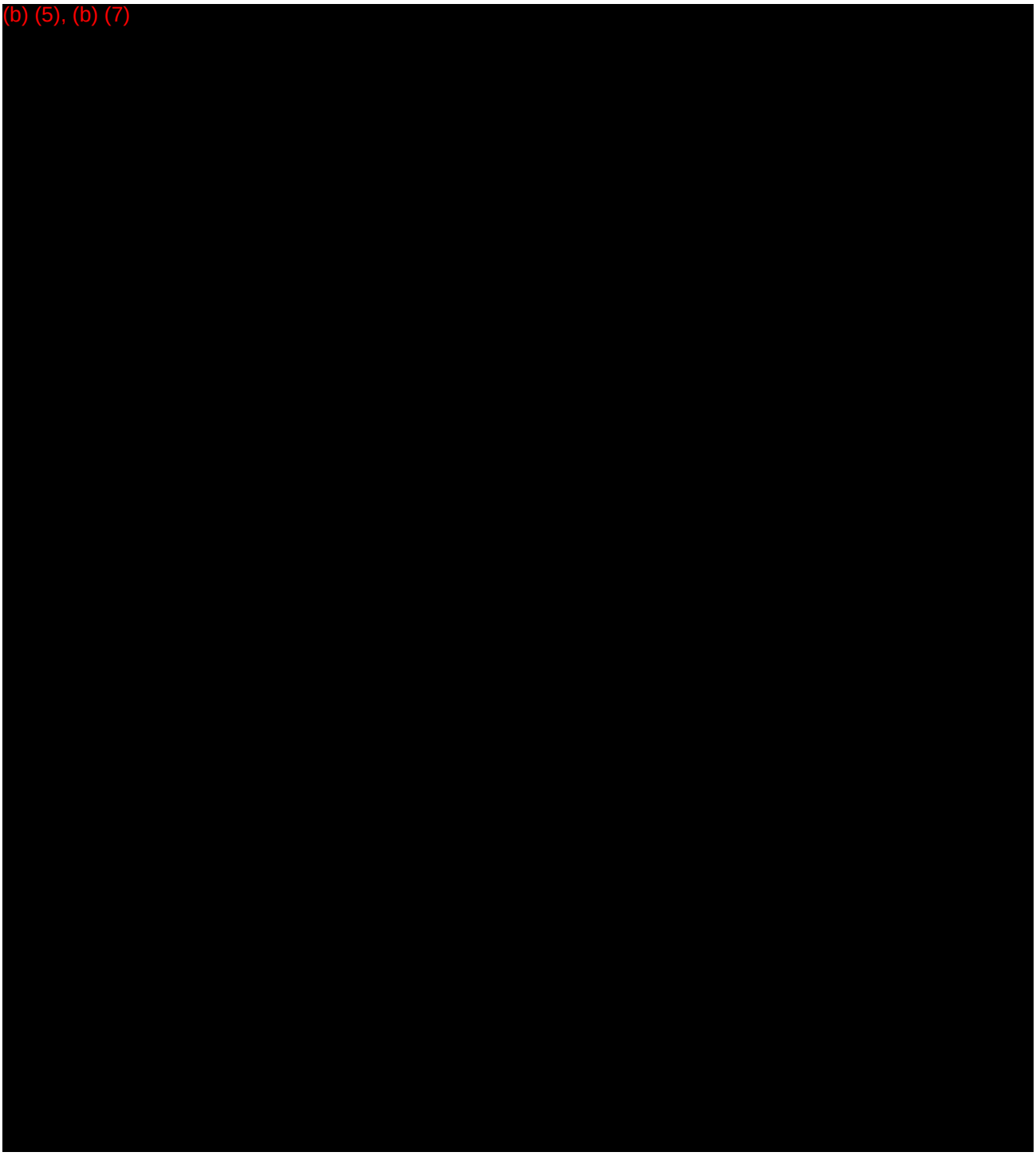
(b) (5), (b) (7)



```
/*!50001 CREATE ALGORITHM=UNDEFINED */
/*!50013 DEFINER=`jhuang`@`10.4.32.80` SQL SECURITY DEFINER */
/*!50001 VIEW `responsetimeincrementsimple` AS select distinct `annualresponsetimeincrements`.`id` AS
`id`,`annualresponsetimeincrements`.`Year` AS `Year`,`annualresponsetimeincrements`.`Type` AS
`Type`,`annualresponsetimeincrements`.`Days` AS `Days`,`annualresponsetimeincrements`.`CompId` AS
`CompId`,`annualresponsetimeincrements`.`Times` AS `Times` from `annualresponsetimeincrements` where
(`annualresponsetimeincrements`.`Type` = 1) */;

--
-- View structure for view `responsetimenormal`
--
```

(b) (5), (b) (7)



```
/*!50001 VIEW `sumappealdenialother` AS select `annualappealother`.`CompId` AS
`CompId`,`annualappealother`.`Year` AS `Year`,sum(`annualappealother`.`Times`) AS `SumOfTimes` from
`annualappealother` group by `annualappealother`.`CompId`,`annualappealother`.`Year` */;
```

Appendix C – Document Change Control

This chart contains a history of the revisions made to this document. Typically the document itself should be stored in revision control, and a brief description of each version should be entered in the revision control system. This may be unnecessary given SharePoint's functionality.

Revision Number	Date of Issue	Author(s)	Brief Description of Change
1.0	8/17/2011	Johann Huang	First Draft
1.1	10/24/2011	Chris Knowle	Final Draft